

Audit Checklists

AUDIT OF LOCAL AUTHORITY ASSESSMENT OF HACCP COMPLIANCE IN FOOD BUSINESS ESTABLISHMENTS

(DECEMBER 2009)

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

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

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

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

Checklist (HACCP 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) and any officers responsible for internal monitoring should be checked**, auditors should also select a representative cross-section of authorised officers, including contractors where appropriate. Officers should be asked to provide their authorisation documents.

	1	2	3	4	5	EVIDENCE & NOTES
Name/designation of officer <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 <i>[NB: Ensure that original certificates have been checked]</i> <i>[Std – 5.3 & CP – 1.2.5 & 1.2.6 NB 1.2.6 relates to contract staff]</i>	<i>[Note down dates of relevant new and update training within the preceding 5 years]</i>					
Update CPD training? (10 hours) [CP – 1.2]						
Recent returner training? (15 hours) (if applicable) [CP – 1.2]						
New appointments/transfers appropriately qualified? [CP – 1.2.3]						
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
Specific training in HACCP principles and/or auditing of HACCP based food safety management systems, including auditing skills*. [CP – 1.2.9.1.1 & Annex 2**]						
Quality Assurance (Food) [CP – 1.2.9.2.3]						
Training in Safer Food, Better Business (implementation/evaluation?).						
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]						

*Document the course title and define the level (if available). Include the date course was attended.

****Annex 2 - HACCP evaluation competencies**

Standards of competence for Food Authority officers in relation to procedures based on HACCP principles

With the exception of primary production, Food Authorities should satisfy themselves that staff engaged in the food hygiene inspection of food business establishments, involving the audit of procedures based on HACCP principles, are able to demonstrate the following competencies. This is in addition to holding the relevant qualification prescribed in Chapter 1.2 for the category of business to be inspected:

1. To identify, through the conduct of an audit, the need for improved food safety control in establishments having regard to the nature and size of the business.
 - 1.1 Assess the quality of food safety hazard identification in a food business.
 - 1.2 Assess the quality of critical control point (CCP) identification in a food business.
 - 1.3 Assess the suitability of controls in place and their monitoring at CCPs.
 - 1.4 Assess the verification and review by business operators of procedures based on HACCP principles.
2. To promote and support the implementation of procedures based on HACCP principles appropriate to the nature and size of the business.
 - 2.1 Explain the principles of hazard analysis to food business operators or managers in terms appropriate to the nature and size of the business.
 - 2.2 Specify targets for improved control of food safety hazards.
 - 2.3 Provide advice on carrying out hazard analysis and implementing controls in terms appropriate to the nature and size of the business.
 - 2.4 Explain where appropriate, the relationship between HACCP systems (based on Codex) and other procedures based on HACCP principles.
3. To secure compliance with procedures based upon HACCP principles as required in legislation, appropriate to the nature and size of the business.
 - 3.1 Explain the legal requirements in relation to procedures based on HACCP principles.
 - 3.2 Secure progress towards compliance by discussion and persuasion.
 - 3.3 Secure compliance by the issue of notices. Secure compliance through the courts (and gather and preserve evidence in a form usable in court).

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"> • Food Safety Act 1990 and subordinate regulations (CP 1.2.2) • OFFC (England) Regs 2009 • Food Hygiene (England) Regs 2006 						
Specific authorisation under Food Hygiene (England) 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 that food has not been produced, processed & distributed in compliance with food hygiene regs. 						
Contaminants in Food (England) Regulations 2009						
Imported food authorisations:- <ul style="list-style-type: none"> - The Products of Animal Origin (Third Country Imports) (England) Regs. 2006 						
- The Products of Animal Origin (Third Country Imports) (England) (Amendment) Regs. 2009						

	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: http://www.food.gov.uk/multimedia/pdfs/foodstuff_controls.pdf)						
Other Regulations made under the European Communities Act 1972						
Food and Environment Protection Act 1985 authorisation *						
Qualifications, training & experience match authorisation and powers exercised in practice? [Std – 5.3 & 5.4]						

*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 (HACCP) C – FOOD 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 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 checks. **Auditors should try and select a mix of premises operating a mix of bespoke FSMS and SFBB.**

	1	2	3	4	5	6	7	EVIDENCE & NOTES
File Name/identifier Food Hygiene: (A, B & C risk categories – 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]								
Correctly risk assessed (last 3 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>								
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]								
Detailed records of inspection maintained [Std – 16.1 & CP – 4.5.3]								
Details on computer database and file are up to date, accurate & consistent. [Std – 16.1 & CP – 4.5.3]								
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
Details of: <ul style="list-style-type: none"> • food suppliers, and; • other businesses to which food is supplied. [General Food Regs. 2004 Article 18 178/2002] 								
Product recall/withdrawal arrangements, as appropriate (depends on size/scale of business).								
ASSESSMENT OF COMPLIANCE WITH HACCP REQUIREMENTS								
Is there evidence of an effective assessment of FBO compliance with HACCP requirements?								
Type of Food Safety Management <ul style="list-style-type: none"> • Bespoke • SFBB 								
In respect to SFBB systems, is there evidence to indicate a thorough assessment of the system has taken place?								
Evidence that any assessment of FBO compliance included (where appropriate) the following:								
<ul style="list-style-type: none"> • Identification (by FBO) of potential hazards that must be prevented reduced or eliminated 								
<ul style="list-style-type: none"> • Identification of CCPs at appropriate steps 								
<ul style="list-style-type: none"> • Determining that FBO has established critical limits 								
<ul style="list-style-type: none"> • Determining if FBO has established and implemented effective monitoring procedures at CCPs 								

	1	2	3	4	5	6	7	EVIDENCE & NOTES
<ul style="list-style-type: none"> Establishing that corrective actions are implemented as necessary 								
<ul style="list-style-type: none"> Determining that verification procedures are adequate to establish that HACCP procedures are working as required 								
<ul style="list-style-type: none"> Checks that there are HACCP documents and records commensurate with the nature and size of the business. 								
Is the assessment in meeting compliance with HACCP requirements adequate and recorded?								
Are contraventions in relation to HACCP requirements identified and adequately followed up.? [CP – 4.5.3]								
ASSESSMENT OF COMPLIANCE WITH GENERAL HYGIENE REQUIREMENTS								
Do records of inspection findings confirm adequate assessment of compliance with general hygiene requirements in Annex II, Reg. 852/2004 , as follows:								
<ul style="list-style-type: none"> General requirements for food rooms (structure, layout, workflow, repair, facilities etc) (Ch. I) 								
<ul style="list-style-type: none"> Walls, floor, ceiling, doors, windows, surfaces in contact with food (Ch. II) 								
<ul style="list-style-type: none"> Equipment requirements (Ch. V) 								
<ul style="list-style-type: none"> Food waste (Ch. VI) 								

	1	2	3	4	5	6	7	EVIDENCE & NOTES
• Water supply (Ch. VII)								
• Personal Hygiene (Ch. VIII)								
• Provisions applicable to foodstuffs (Ch. IX)								
• 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 at each inspection adequately highlighted for follow up?								
POST-INSPECTION AND FOLLOW-UP ACTIONS								
Have appropriate and proportionate follow-up actions been taken where inspection findings have identified significant issues/contraventions?								
Where failures were identified have actions been taken in line with the Authority’s own enforcement policy? Graduated, proportionate etc.								

	1	2	3	4	5	6	7	EVIDENCE & NOTES
Have previously identified issues /contraventions, predominantly those relating to the Food Safety Management System, been addressed and appropriate and proportionate action taken in case of recurring issues/contraventions?								
*Evidence of internal monitoring on files, including risk ratings? [Std – 19.2 & CP – 7.1]								

NOTES

PREMISES INSPECTION REPORTS AND LETTERS - Food Hygiene								
Report of Inspection requirements [CP – 4.5 & 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]	1	2	3	4	5	6	7	EVIDENCE & NOTES
Do inspection reports 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 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]								
Letters have clear distinction between legal requirements and recommendations [CP – 3.1.6]								
Indication of time scale for achieving compliance [CP – 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 (HACCP) D – Hygiene Improvement Notices

Section 5 – Authorised Officers

Section 7 – Food Premises Inspection

Section 15 – Enforcement

Frequency of checks: A minimum of 3 Hygiene improvement notices served by different officers. *Auditors should select files where issues associated with HACCP or HACCP based food safety management systems have been identified.*

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>				
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				

Name of Premises/Notice Identifier	1	2	3	EVIDENCE & NOTES
2006]				
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	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]				

*[*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 (HACCP) E – Emergency Prohibition Procedures and Voluntary Closure of Premises

Section 5 – Authorised Officers

Section 7- Food Premises Inspection

Frequency of Checks: A minimum of 3 or 100% if less has been served in the last 2 years. *Auditors should select files where issues associated with HACCP or HACCP based food safety management systems have been identified.*

Name of premises/Notice Identifier	1	2	3	EVIDENCE & NOTES
FOOD 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 consistent with CP guidance and enforcement policy? [Std – 15.1 & CP – 3.3.2]				

Name of premises/Notice Identifier	1	2	3	EVIDENCE & NOTES
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
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]				
*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 (HACCP) 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. *Auditors should select files where issues associated with HACCP or HACCP based food safety management systems have been identified.*

	1	2	3	4	5	EVIDENCE & NOTES
Name of Premises/Premises Identifier						
PROSECUTIONS <i>(Detail reason for prosecution below on separate table)</i>						
Was prosecution the appropriate course of action? [CP – 3.1]						
Authorised by officer with appropriate delegated powers? [Std – 5.3]						
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]						
Prosecution taken without unnecessary delay? [CP – 3.1.10]						

	1	2	3	4	5	EVIDENCE & NOTES
Action taken under correct legislation?						
*Any evidence on files of internal monitoring? [Std-19.2]						

	1	2	3	4	5	EVIDENCE & NOTES
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 16/2008?						
Authorised by officer with appropriate delegated powers? [Std – 5.3]						
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?						
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 (HACCP) G 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?						

Premises:	1	2	3	4	5	EVIDENCE & NOTES
Date of the 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]						
REVIEW OF LAST 3 INSPECTIONS						
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>						
<i>Do file records /reports confirm the scope of the inspection/intervention and if not all elements were covered, is the reason recorded?</i>						

Premises:	1	2	3	4	5	EVIDENCE & NOTES
<i>Does the most recent file record /report/follow up letter confirm that the scope of the intervention included at least:</i>						
<ul style="list-style-type: none"> Confirmation of operations carried out 						
<ul style="list-style-type: none"> Confirmation of products produced 						
<ul style="list-style-type: none"> Assessment of effectiveness of CCP's 						
<ul style="list-style-type: none"> Examination of CCP records 						
<ul style="list-style-type: none"> Review of use of health marks and any commercial documents 						
Inspected by officer with correct authorisation. [Std – 5.3 CP - 1.2.9.1.3]						
Revisited in accordance with LA policy [Std - 7.4]						
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]						
Where applicable, have appropriate and proportionate actions been taken where issues relating to the HACCP system have been identified?						
<i>(Where establishment was initially approved under revoked/previous legislation)</i> Has the establishment been appropriately re-approved under current hygiene legislation?						

Premises:	1	2	3	4	5	EVIDENCE & NOTES
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]						
Copies of documents provided by establishment or copied at premises including:						
<ul style="list-style-type: none"> • Complete HACCP documentation? (Date of document) 						
<ul style="list-style-type: none"> • Is there evidence that the HACCP system has undergone an effective evaluation? 						
<ul style="list-style-type: none"> • Does the information held adequately define the processes being carried out at the food premises? 						
<ul style="list-style-type: none"> • Is the information held sufficient to demonstrate compliance with the 7 HACCP principles?* 						
Copy of company's emergency withdrawal plan including product recall procedures, full contact details of suppliers, customers and key members of staff?						
Approval notification document on file?						
Was approval granted without reasonable delay?						
Any evidence on files of internal monitoring? * [Std-19.2]						

* Auditor should make a comment on validity of the HACCP plan

**Details of internal monitoring may be maintained separately

Checklist (HACCP) H – 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. Auditors to target complaints originating from larger or approved establishments and or those which are known to supply people in vulnerable groups. *Auditors should assess whether the complaint is connected to issues with the food premises HACCP or HACCP based food safety management system.*

File reference	1	2	3	4	5	6	EVIDENCE & NOTES
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 FLECP 1.1.5]							
Appropriate investigation carried out? (including examination of HACCP plan and associated records, where relevant).							

File reference	1	2	3	4	5	6	EVIDENCE & NOTES
Appropriate action taken on findings?							
Any evidence of liaison with other connected departments/bodies (education dept's etc.)?							
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?							
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]							

*[*Comment on whether the Authority employs any method for identifying complaints to specific businesses, particularly those known to be supplying vulnerable groups*

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

NOTES

Checklist (HACCP) I – Food Sampling
Section 5 – Authorised Officers
Section 12 – Food inspection and sampling

Frequency of Checks: A minimum of 5 checks should be made. *Where adverse results have been identified auditors should assess whether this has been linked to a failure with the food premises HACCP or HACCP based food safety management system.*

	1	2	3	4	5	6	EVIDENCE & NOTES
Sample number/premises reference:							
General							
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]							

File reference	1	2	3	4	5	6	EVIDENCE & NOTES
Business informed of (unsatisfactory) result. [CP – 6.1.9 (analysis) & 6.1.11 (examination) FLECP 5.4.3 (analysis)]							
Liaison with home/originating authority as appropriate. [CP – 6.1.13 FLECP 5.4.3]							
*Evidence of internal monitoring on files? [Std-19.2]							

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

NOTES
