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**Food Standards Agency Audit of Local Authority  
Official Controls and Food Business Operator  
Controls in Approved Establishments**

London Borough of Merton

24-25 February 2009

## Foreword

Audits of local authorities' food law enforcement services are part of the Food Standards Agency's arrangements to improve consumer protection and confidence in relation to food. These arrangements recognise that the enforcement of UK food law relating to food safety, hygiene, composition, labelling, imported food and feeding stuffs is largely the responsibility of local authorities. These local authority regulatory functions are principally delivered through their Environmental Health and Trading Standards Services.

The attached audit report examines the official controls implemented in approved meat products establishments by the Local Authority's Food Law Enforcement Service. The audit assessments included the authority's policies, organisation and management and local arrangements for implementation of official controls in approved establishments, with specific focus on approved meat products establishments, and related areas of food law enforcement.

Agency audits assess local authorities' conformance against the Food Law Enforcement Standard ("The Standard"), which was published by the Agency as part of the Framework Agreement on Local Authority Food Law Enforcement. The Framework Agreement and the audit protocols are available on the Agency's website at:

[www.food.gov.uk/enforcement/](http://www.food.gov.uk/enforcement/).

The main aim of the audit scheme is to maintain and improve consumer protection and confidence by ensuring that local authorities are providing an effective food law enforcement service. The scheme also provides the opportunity to identify and disseminate good practice and provide information to inform Agency policy on food safety.

The report contains some statistical data on food law enforcement activities undertaken by the authority. The Agency's website contains enforcement activity data for all UK local authorities and can be found at:

[www.food.gov.uk/enforcement/](http://www.food.gov.uk/enforcement/).

The report also contains an action plan, prepared by the Authority, to address the audit findings.

A glossary of technical terms used within the audit report can be found at Annex C.

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## 1. Introduction

### Background and Scope of the Audit

- 1.1.1 This report records the results of an audit at the London Borough of Merton. The Authority was 1 of 11 authorities selected for the audit programme of local authority official controls and food business operator controls in approved establishments carried out between February and April 2009, as part of the Food Standards Agency's programme of audits of local authority food law enforcement.
- 1.1.2 The audit was carried out under relevant headings of the Food Standards Agency Food Law Enforcement Standard and the report has been made publicly available on the Agency's website at [www.food.gov.uk/enforcement/](http://www.food.gov.uk/enforcement/). Hard copies are available from the Food Standards Agency's Local Authority Audit and Liaison Division at Aviation House, 125 Kingsway, London WC2B 6NH, Tel: 020 7276 8428.
- 1.1.3 The power to set standards, monitor and audit local authority food law enforcement services was conferred on the Food Standards Agency by the Food Standards Act 1999 and the Official Feed and Food Controls (England) Regulations 2006. This audit of official controls implemented by the London Borough of Merton's food service was undertaken under section 12(4) of the Act and Regulation 7 of the Regulations.
- 1.1.4 The audit examined the Local Authority's arrangements for implementing official controls at approved establishments, with a particular focus on approved meat products establishments. In considering the effectiveness of these controls, the audit evaluated the appropriateness of approvals; compliance of the approvals process with legal requirements, the Food Law Code of Practice and official guidance; delivery of routine official controls in approved establishments; the reactive elements of the Authority's approved establishments responsibilities and related aspects of the Service.
- 1.1.5 The London Borough of Merton, with an area of 3,758 hectares is situated in South West London and is predominantly suburban in character with a mix of residential, commercial and industrial areas and 3 main town centres, Wimbledon, Mitcham and Morden. The population is 194,700 of which approximately 25% is from black and minority ethnic groups.
- 1.1.6 There are approximately 7,000 business premises within the Authority's area of which 1,400 are food establishments including 10 approved establishments.

- 1.1.7 The on-site element of the audit took place at the Authority's office at Merton Civic Centre, London Road, Morden, London, SM4 5DX on 24-25 February 2009.

## 2.0 Executive Summary

- 2.1 The Authority had produced a Consumer and Business Protection Service Delivery Plan for 2008/009 which was broadly in line with the Service Planning Guidance in the Framework Agreement and was subject to regular reviews. However, future service plans should be further developed to include:
- the Authority's food premises profile and corresponding intervention programme, including approved establishments;
  - an estimate of staffing resources required for food law enforcement service delivery.
- 2.2 There was no effective control system for the Authority's documented food service policies and procedures. A significant number of these had no issue dates and there was no evidence available to confirm when these had been originally produced or whether they were subsequently reviewed.
- 2.3 The Authority had produced a documented procedure for the authorisation of officers, however, this did not include the means by which officers' competence was assessed prior to authorisation. The document confirming the authorisation of officers within the Consumer and Business Protection Division had out of date legislative references and did not include specific authorisations for all formal enforcement options. The Authority, therefore, needed to review their officer authorisations and confirm with their legal department that all officers were appropriately authorised.
- 2.4 There was no documented procedure in place for ensuring that the food premises database was accurate and up to date, although audit checks, specific to approved establishments, confirmed that the database contained accurate records of these establishments.
- 2.5 The Authority had a number of establishments that had been appropriately approved, although audit checks identified several other establishments that are likely to require approval. The Authority, therefore, should regularly review the activities undertaken by food businesses in their area, with a particular emphasis on cold store operations, in order to ensure that all relevant establishments are approved in line with legislative requirements and official guidance.
- 2.6 All premises currently approved by the Authority had been approved or re-approved since January 2006 and file records contained the approval documentation and appropriate correspondence with food business operators. In addition, it was confirmed that officers were generally carrying out comprehensive inspections of approved establishments, although these had not always been carried out at the

frequencies detailed within the Food Law Code of Practice. Detailed records of inspection findings were maintained and reports of inspection or letters were provided to food business operators in all cases.

- 2.7 The Authority had developed a procedure for the investigation of food complaints. However, audit checks indicated that recent complaints and referrals received in relation to approved establishments had not always been fully investigated.
- 2.8 The Authority had a documented sampling policy and procedure and in addition, a sampling programme had been developed as part of agreed sampling within the South West London region. However, the Authority had not undertaken any recent sampling within approved establishments and it was agreed that future sampling programmes would include targeted sampling from approved establishments.
- 2.9 The Authority had developed a detailed documented enforcement policy in accordance with official guidance. However, the Authority should ensure that documented procedural guidance is available for all formal enforcement options relating to approved establishments.
- 2.10 The Authority had included some aspects of internal monitoring within the food service documented procedures. It was clear that quantitative performance monitoring against inspection targets was undertaken both within the team and at senior management level and that discussions were undertaken between officers and at team meetings to promote consistent enforcement. The auditors were advised that some qualitative monitoring was undertaken; this needed to be expanded to cover all areas of food law enforcement activity including that relating to approved establishments.

### 3.0 Audit Findings

#### 3.1 Organisation and Management

3.1.1 Food law enforcement was carried out by officers in 2 geographically based Environmental Health teams within the Consumer and Business Protection Section located in the Public Protection Division of the Environment and Regeneration Department. In addition to food hygiene and food standards law enforcement, these teams also undertook work relating to infectious disease control and health and safety at work.

3.1.2 The 2 team leaders were responsible for the day to day operational management of the teams, under the overall management of the Consumer and Business Protection Manager. One of the team leaders had been appointed as a lead officer with special responsibility for both food hygiene and food standards.

3.1.3 The objectives of the Service, as detailed in the Consumer and Business Protection Service Delivery Plan 2008/2009, included the following, which were of particular relevance to the scope of the audit:

*'The Service will:*

- *Ensure that food premises are of the correct standard of hygiene;*
- *Deal effectively with all complaints, enquiries, service requests'.*

3.1.4 The Plan contained specific performance indicators for the Service which included targets relating to the *'inspections of 'high risk' business premises to ensure statutory requirements will be met'*. However, targets had not been set in relation to lower risk premises, apart from *'outstanding category C premises to complete Scores on the Doors'*. Therefore the performance indicators did not meet the minimum risk-based intervention frequencies required by the Code of Practice in relation to risk category C, D and E premises, which included all of the Authority's approved establishments. Auditors were advised that the targets were based on what could be achieved with available resources, as stated in the Service Delivery Plan. However, the plan did not include a comparison of existing resources against an estimation of those required to meet the overall demands of the food service, nor details of the food premises profile within the Authority's area.

#### **Recommendation 1**

##### **The Authority should:**

Expand its food Service Plan to include the Authority's food premises profile and an estimation of staffing resources required for service delivery. [The Standard – 3.1]

### 3.2 Review and Updating of Documented Policies and Procedures

- 3.2.1 The Authority had not set up or implemented a document control system in relation to its documented food service policies and procedures and it was unclear when many of these documents had been developed or issued. The documents were held electronically in a folder which did not have protected access.
- 3.2.2 Reviews of documented policies and procedures were not programmed and, in general, documents had not been reviewed at regular intervals. There was evidence that reviews had been recently carried out to update some documents and to reflect the significant recent changes to food safety legislation and the Food Law Code of Practice. The auditors were advised that reviews were generally carried out on an ad hoc basis and that this process was mainly triggered by changes in legislation and official guidance.

#### **Recommendation 2**

##### **The Authority should:**

Develop and implement appropriate systems to ensure that all documented policies and procedures are regularly reviewed, updated, and controlled effectively for all areas of food law enforcement activities covered by the Standard.  
[The Standard – 4.1 & 4.2]

### 3.3 Authorised Officers

- 3.3.1 The Authority's Scheme of Delegation, supported by a detailed Scheme of Management, confirmed the authorisation of the Head of Public Protection and Development to discharge specific duties and to delegate executive powers to identified officers. These included the appointment of officers, the authorisation of formal enforcement action and the institution of legal proceedings. The list of legislation under which officers could be authorised included the Food Safety Act 1990 and '*any Orders, Regulations or other instruments having effect by virtue of the European Communities Act 1972*'. However, officers were not specifically authorised under the Official Feed and Food Control (England) Regulations 2006 or to take formal enforcement action under the provisions of the Food Hygiene (England) Regulations 2006.
- 3.3.2 In accordance with the Scheme of Management, the authorisation of named officers to exercise specific duties, including food law

enforcement, was undertaken by Consumer and Business Protection Manager and confirmed in the Authority's Appointment and Authorisation document. However, the latter contained out of date legislative references and did not contain authorisation details for all formal enforcement options available in relation to approved establishments.

- 3.3.3 The Service had developed a documented procedure for the authorisation of officers based on their qualifications and experience, although this was undated and did not include the means by which officers' competence was assessed prior to deciding individual levels of authorisation.
- 3.3.4 The Authority was committed to staff training and development and had achieved Investors in People (IIP) re-accreditation in 2008. Officer training needs were individually assessed and programmed through the staff appraisal process and then collated in a training plan for the Section.
- 3.3.5 Training records for 3 officers responsible for official controls in approved establishments were examined during the audit. Evidence of qualifications and update training, including training on formal enforcement and specialist processes was being maintained. Officers had completed at least 10 hours of continuing professional development (CPD) training per year, in line with Food Law Code of Practice requirements.

### ***Recommendation 3***

#### **The Authority should:**

Review and further develop its documented procedures and processes for the authorisation of officers to include the means of assessing officers' competence. Individual authorisations should be reviewed to ensure they contain appropriate and current legal references. [The Standard – 5.1]

## **3.4 Food Premises Database**

- 3.4.1 Records of all 10 establishments approved by the Authority were accessible, recorded on the Service's database and consistent with those held on paper files. One recently approved establishment and 2 that had ceased trading were yet to be notified to the Agency's central register by the Authority.

- 3.4.2 The Authority had not developed a documented procedure to ensure that the food premises database was accurate and up to date, including checks to ensure the Authority's awareness of all food business activities that may require approval. However, auditors were advised that database information was compared on an ad hoc basis with business rates data, as well as planning and building control notifications. In addition, occasional enquiries were made at industrial sites to identify any new food business establishments.

**Recommendation 4**

**The Authority should:**

Develop, implement and maintain a documented procedure to ensure that its food premises database is accurate and up to date. [The Standard – 11.2]

**3.5 Approved Establishment Inspections**

- 3.5.1 The Authority's Consumer and Business Protection Service Delivery Plan stated that one of the aims of the service was *'to ensure that food premises are of the correct standard of hygiene'* and that *'at the forefront of the current performance frameworks is the need to undertake pro-active targeted and proportionate risk-based inspection activities'*.
- 3.5.2 There were 10 product-specific establishments approved under Regulation (EC) No. 853/2004 in the Authority's area. However, audit file checks on records relating to 5 unapproved cold stores indicated that activities undertaken by these food businesses may require approval under product specific legislation.
- 3.5.3 The Service had developed an undated Quality Procedure for Food Hygiene Inspections, which contained operational guidance for the inspection of all food premises in the Authority's area. In addition, a Procedure for the Approval of food business establishments had been produced which detailed the process that officers should follow when determining whether an approval should be granted. The procedure made reference to the use of a product-specific inspection form, which is recommended in centrally issued guidance.
- 3.5.4 A review of approved establishments inspections carried out since 1 January 2006, when current EU regulations laying down specific rules for the organisation of official controls on products of animal origin came into force, confirmed that the Authority had generally carried out comprehensive inspections of its approved

establishments. However, these had not always been carried out at the minimum frequency set out in the Food Law Code of Practice.

- 3.5.5 Records of inspections of 5 approved establishments were examined and in the majority of cases an appropriate, detailed aide-memoire had been completed to record the details of the inspections, in particular clearly recording the businesses' progress in complying with HACCP based procedures. File records confirmed that all 5 premises had been approved or re-approved after the current Regulations came into force in January 2006 and every file contained records of the approval assessments, the approval documentation and copies of relevant correspondence with the food business operator. One premises had been conditionally approved for more than the permitted 6 months but the auditors were advised that full approval would now be granted as the premises fully complied with legal requirements.
- 3.5.6 Auditors made a joint visit with 2 of the Authority's officers to an approved meat products and fish products establishment. The purpose of the visit was to verify information gathered from file records checks and officer interviews and to assess the effectiveness of official controls implemented by the Authority at the establishment. The visit confirmed that the approval had been correctly granted and covered all business activities. It was also confirmed that the Authority was effectively carrying out its official controls responsibilities at the establishment and had developed a supportive working relationship with the food business operator.

#### ***Recommendation 5***

##### **The Authority should:**

Regularly review the activities undertaken by food businesses within their area, with particular emphasis on cold store operations, to ensure that all relevant establishments are approved in line with legislative requirements and official guidance. In addition, the Authority should also ensure that approved establishments are inspected at appropriate frequencies as detailed in the Food Law Code of Practice.

[The Standard – 7.1 & 7.2]

### **3.6 Food and Food Premises Complaints**

- 3.6.1 The Authority had developed and recently reviewed its documented procedure for the investigation of food complaints. This outlined the steps that should be followed by officers when dealing with food

complaints and referrals under food safety legislation, including compositional, adulteration and misleading claims.

- 3.6.2 Records of 5 complaints and referrals involving the Authority's approved establishments were examined. In all cases complete information on the complainant was recorded and the food business operator was contacted. However, in 3 cases, records indicated that the complaints and referrals had not been fully investigated in line with official guidance.

**Recommendation 6**

**The Authority should:**

Ensure that complaints and referrals received in relation to approved establishments are investigated in accordance with the Food Law Code of Practice and centrally issued guidance.  
[The Standard – 8.2]

**3.7 Food Inspection and Sampling**

- 3.7.1 The Service's recently reviewed documented sampling procedure contained the Authority's sampling policy which stated that *'it is the policy to sample food in accordance with the London Food Coordinating Group Food Sampling Code of Practice'*.
- 3.7.2 The food sampling programme for 2008/2009, for both chemical and microbiological samples, had been developed as part of the South West London regional food sampling programme and was included in the Targets and Performance Appendix of the Consumer and Business Protection Service Delivery Plan. This did not make reference to the sampling of food originating from local manufacturers and no food sampling had been undertaken from the Authority's approved establishments in 2008.

**Recommendation 7**

**The Authority should:**

Ensure that its sampling programme considers the nature of its food establishments, including approved establishments.  
[The Standard – 12.4]

### 3.8 Food Safety Incidents

- 3.8.1 The Authority had developed an undated documented procedure that set out the process for both initiating and responding to food alerts and other incidents.
- 3.8.2 No food alerts or food safety incidents in 2008 were associated with any of the Authority's approved establishments.

### 3.9 Enforcement

- 3.9.1 The Authority had developed a detailed Enforcement Policy for the Environmental Health, Trading Standards and Licensing Service. However, the Authority did not have up to date documented procedural guidance for all enforcement options in approved establishments.
- 3.9.2 No formal enforcement action had been taken in relation to the Authority's approved establishments in 2008. However, inspection records of enforcement activity in relation to 5 of the Authority's approved establishments confirmed that officers were generally undertaking appropriate actions in line with the Authority's enforcement policy, legal requirements, the Food Law Code of Practice and official guidance. Inspection reports and letters relating to these premises were also examined and generally these were comprehensive, easy to understand and made a clear distinction between legal requirements and recommendations.

<b><i>Recommendation 8</i></b>
<b>The Authority should:</b>
Develop and implement the full range of documented procedures for follow-up and enforcement actions in accordance with the Food Law Code of Practice and official guidance. [The Standard – 15.2]

### 3.10 Records and Inspection Reports

- 3.10.1 The Authority's food premises records were held on paper files and on an electronic database system. File and database records of 5 approved establishments were examined. These were generally comprehensive and contained the majority of appropriate and relevant business operations records and information as specified in Annex 12 of the Food Law Practice Guidance.

- 3.10.2 The inspection records of the 5 approved establishments examined were generally retrievable and contained adequate details regarding the business activities, the reasons for approval, the scope and findings of inspections undertaken and associated assessments of compliance.

***Good Practice – Approved establishment file records***

Approved establishment files were generally comprehensive and well ordered with easily retrievable information on the approval process, inspection history and assessment of business compliance, particularly in relation to HACCP principles.

**3.11 Internal Monitoring**

- 3.11.1 The Authority did not have a stand alone documented procedure on internal monitoring. However, operational guidance on internal monitoring was included within some of the Service's individual documented food law enforcement service procedures. Auditors were advised that records had not been maintained in relation to any qualitative monitoring that had been undertaken, other than internal memoranda to the Service Manager confirming that overtime inspections had been satisfactorily completed.
- 3.11.2 It was evident that quantitative performance monitoring against inspection targets was carried out both within the team and at senior management level. In addition, audit record checks and discussions with officers confirmed that officers jointly reviewed enforcement decisions on an ad hoc basis and held team meeting discussions to promote consistent enforcement.
- 3.11.3 There were no records available of any monitoring activities in relation to food law enforcement in approved establishments.

***Recommendation 9***

**The Authority should:**

Ensure that qualitative monitoring is undertaken in relation to food law enforcement in approved establishments to verify conformance with the Standard, relevant legislation, the Food Law Code of Practice, centrally issued guidance and the Authority's own documented policies and procedures.  
[The Standard – 19.2 & 19.3]

**3.12 Third Party or Peer Review**

- 3.12.1 Auditors were advised that there had been no recent inter authority audits or other third party review activities in relation to food law enforcement at approved establishments.

**AUDITORS:**

**Christina Walder** (Lead Auditor)  
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Food Standards Agency  
Local Authority Audit and Liaison Division

## ANNEX A

**Action Plan for London Borough of Merton**

Audit date: 24-25 February 2009

TO ADDRESS (RECOMMENDATION INCLUDING STANDARD PARAGRAPH)	BY (DATE)	PLANNED IMPROVEMENTS	ACTION TAKEN TO DATE/OTHER COMMENTS
<b>Recommendation 1</b> - Expand its food Service Plan to include the Authority's food premises profile and an estimation of staffing resources required for service delivery. [The Standard – 3.1]	Completed	Business Plan for 2009/2010 to include: <ul style="list-style-type: none"> <li>▪ Breakdown of Merton food premises profile to include risk ratings and proposed intervention &amp; inspection programme and details of approved premises within Merton.</li> <li>▪ A comparison of staff resources required to deliver a complete food enforcement service that would be compliant with the COP against the resources available to Merton &amp; how those resources will be employed.</li> </ul>	
<b>Recommendation 2</b> - Develop and implement appropriate systems to ensure that all documented policies and procedures are regularly reviewed, updated, and controlled effectively for all areas of food law enforcement activities covered by the Standard. [The Standard – 4.1 & 4.2]	31/05/10	All documented policies & procedures for all areas of food law enforcement activities covered by the Standard to be reviewed and dated. Thereafter they will be reviewed and updated on an annual basis. They will be held electronically in password protected documents.	These will be reviewed one at a time each month starting in June 2009.
<b>Recommendation 3</b> - Review and further develop its documented procedures and processes for the authorisation of officers to include the means of assessing officers' competence. Individual authorisations should be reviewed to ensure they contain appropriate and current legal references. [The Standard – 5.1]	31/07/09	To review and reissue the current procedure authorising officers to include a means by which Officer competency is assessed and documented and to ensure all legislative references are up to date.	

TO ADDRESS (RECOMMENDATION INCLUDING STANDARD PARAGRAPH)	BY (DATE)	PLANNED IMPROVEMENTS	ACTION TAKEN TO DATE/OTHER COMMENTS
<p><b>Recommendation 4</b> - Develop, implement and maintain a documented procedure to ensure that its food premises database is accurate and up to date. [The Standard – 11.2]</p>	31/12/09	<p>We will document our existing procedures for ensuring our food premises database is accurate and up to date. We are currently awaiting agreement for the creation of a new post of Administrator for the database. If we get agreement for this post one of its functions will be to oversee the accuracy, maintenance and updating of the database.</p>	<p>Last year this Authority updated the database when smoke-free officers were employed to visit every commercial premises in the Borough &amp; update information on premises. We are also informed by Planning, Licensing &amp; Building Control when changes are made to premises. Officers also update the database when they find changes. The section has received 200 new registration forms on average over the last 5 years mainly from Officers after visits have been made. There is already an administrative system for entering changes to the database to ensure PEHOs agree to any changes before they are made. The database is also maintained centrally through the property gazetteer.</p>

TO ADDRESS (RECOMMENDATION INCLUDING STANDARD PARAGRAPH)	BY (DATE)	PLANNED IMPROVEMENTS	ACTION TAKEN TO DATE/OTHER COMMENTS
<p><b>Recommendation 5</b> - Regularly review the activities undertaken by food businesses within their area, with particular emphasis on cold store operations, to ensure that all relevant establishments are approved in line with legislative requirements and official guidance. In addition, the Authority should also ensure that approved establishments are inspected at appropriate frequencies as detailed in the Food Law Code of Practice. [The Standard – 7.1 &amp; 7.2]</p>	<p>31/10/09  30/06/09</p>	<p>Cold stores will be reviewed and where appropriate approved.  The food hygiene inspection form will be updated to include a question on approval to remind Officers to check during visits.</p>	<p>Some of the cold stores have not been approved because it has not been possible to establish whether approval is appropriate. Some discussion took place with the Auditors on one particular premises and this has subsequently been discussed at the London Approvals Group where there was no consensus either. The Approvals group has submitted a request for clarification to the FSA. When this clarification has been received the cold stores will be approved or not accordingly.</p>
<p><b>Recommendation 6</b> - Ensure that complaints and referrals received in relation to approved establishments are investigated in accordance with the Food Law Code of Practice and centrally issued guidance. [The Standard – 8.2]</p>	<p>31/12/09</p>	<p>To update the existing procedure to include a mechanism for taking account of previous history and to review action where a recurring problem has been reported.</p>	<p>This procedure will cover all complaints, not just those relating to approved establishments.</p>
<p><b>Recommendation 7</b> - Ensure that its sampling programme considers the nature of its food establishments, including approved establishments. [The Standard – 12.4]</p>	<p>Completed</p>	<p>Sampling programme already updated to include manufacturers &amp; approved establishments.</p>	

TO ADDRESS (RECOMMENDATION INCLUDING STANDARD PARAGRAPH)	BY (DATE)	PLANNED IMPROVEMENTS	ACTION TAKEN TO DATE/OTHER COMMENTS
<p><b>Recommendation 8</b> - Develop and implement the full range of documented procedures for follow-up and enforcement actions in accordance with the Food Law Code of Practice and official guidance. [The Standard – 15.2]</p>	31/05/10	<p>Merton's Enforcement policy is to be updated to specifically include enforcement in approved establishments. In addition, it is intended to update all procedures as part of Recommendation 2 including those for formal enforcement options. Some of these will be added to the procedure, such as for Improvement Notices or Approvals but others will be stand-alone, such as for seizure/detention of food.</p>	
<p><b>Recommendation 9</b> - Ensure that qualitative monitoring is undertaken in relation to food law enforcement in approved establishments to verify conformance with the Standard, relevant legislation, the Food Law Code of Practice, centrally issued guidance and the Authority's own documented policies and procedures. [The Standard – 19.2 &amp; 19.3]</p>	30/06/09	<p>Monitoring to be added to the approved establishments procedure when reviewed as in recommendation 2.</p>	

**ANNEX B****Audit Approach/Methodology**

The audit was conducted using a variety of approaches and methodologies as follows:

(1) Examination of LA policies and procedures.

The following LA policies, procedures and linked documents were examined before and during the audit:

- Consumer and Business Protection Service Delivery Plan 2008/2009;
- Procedure for the Authorisation of Officers and extract from the Authority's Scheme of Delegation;
- Environment and Regeneration–Scheme of Management 2008;
- The Authority's Food Law Enforcement Procedures;
- Food Premises and Inspection/Intervention aide memoires;
- Environmental Health, Trading Standards and Licensing Services Regulators Compliance Code and Enforcement Policy and documented enforcement guidance.

(2) File reviews – the following LA files were reviewed during the audit:

- Approved establishment files;
- Food complaint records.

(3) Database records

- Food premises database records relating to approved establishments and records of complaints relating to approved establishments.

(4) Officer interviews – the following officers were interviewed:

- Audit Liaison Officer (ALO);
- 1 Officer authorised to inspect approved establishments.

(5) On site verification check:

- Site visit with the Authority's officers to an approved establishment.

## ANNEX C

## Glossary

Authorised officer	A suitably qualified officer who is authorised by the local authority to act on its behalf in, for example, the enforcement of legislation.
Codes of Practice	Government Codes of Practice issued under Section 40 of the Food Safety Act 1990 as guidance to local authorities on the enforcement of food legislation.
County Council	A local authority whose geographical area corresponds to the county and whose responsibilities include food standards and feeding stuffs enforcement.
District Council	A local authority of a smaller geographic area and situated within a County Council whose responsibilities include food hygiene enforcement.
Environmental Health Officer (EHO)	Officer employed by the local authority to enforce food safety legislation.
Feeding stuffs	Term used in legislation on feed mixes for farm animals and pet food.
Food hygiene	The legal requirements covering the safety and wholesomeness of food.
Food standards	The legal requirements covering the quality, composition, labelling, presentation and advertising of food, and materials in contact with food.
Framework Agreement	<p>The Framework Agreement consists of:</p> <ul style="list-style-type: none"> <li>• Food Law Enforcement Standard</li> <li>• Service Planning Guidance</li> <li>• Monitoring Scheme</li> <li>• Audit Scheme</li> </ul> <p>The <b>Standard</b> and the <b>Service Planning Guidance</b> set out the Agency's expectations on the planning and delivery of food law enforcement.</p> <p>The <b>Monitoring Scheme</b> requires local authorities to submit quarterly returns to the Agency on their food enforcement activities i.e. numbers of inspections, samples and prosecutions.</p> <p>Under the <b>Audit Scheme</b> the Food Standards Agency will be conducting audits of the food law enforcement services of local authorities against the criteria set out in the Standard.</p>

Full Time Equivalents (FTE)	A figure which represents that part of an individual officer's time available to a particular role or set of duties. It reflects the fact that individuals may work part-time, or may have other responsibilities within the organisation not related to food enforcement.
HACCP	Hazard Analysis Critical Control Point – a food safety management system used within food businesses to identify points in the production process where it is critical for food safety that the control measure is carried out correctly, thereby eliminating or reducing the hazard to a safe level.
Member forum	A local authority forum at which Council Members discuss and make decisions on food law enforcement services.
Metropolitan Authority	A local authority normally associated with a large urban conurbation in which the County and District Council functions are combined.
Monitoring (OCD) returns	Local authority data returns to the Agency on local food law enforcement activities required to be made to the European Union under the Official Control of Foodstuffs Directive.
Risk rating	A system that rates food premises according to risk and determines how frequently those premises should be inspected. For example, high risk premises should be inspected at least every 6 months.
Service Plan	A document produced by a local authority setting out their plans on providing and delivering a food service to the local community.
Trading Standards	The Department within a local authority which carries out, amongst other responsibilities, the enforcement of food standards and feeding stuffs legislation.
Trading Standards Officer (TSO)	Officer employed by the local authority who, amongst other responsibilities, may enforce food standards and feeding stuffs legislation.
Unitary Authority	A local authority in which the County and District Council functions are combined, examples being Metropolitan District/Borough Councils, and London Boroughs. A Unitary Authority's responsibilities will include food hygiene, food standards and feeding stuffs enforcement.