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IMPORTED FOOD/PORTS (Products Not of Animal Origin)

FOOD LAW ENFORCEMENT AUDIT PROTOCOLS

[Revised May 2005 – FSA/IFP 1 - 16]

[NOTE: These protocols have been developed specifically for audits of authorities with imported food control responsibilities (products *not* of animal origin) at points of entry into the UK i.e. sea and air ports. The Port/Imported Food Protocols (*IFP 1-16*) and Port/Imported Food Checklists (*IFC A-0*) should be used where the port service only is being audited; the Full Audit Protocols (*FAP 1-19*) and Checklists (*FAC A-T*) should be used where the audit excludes the port. A combination of both sets of checklists and the relevant Port protocols are likely to be required for full audits of authorities that include a port].

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(IFP/1) Organisation and Management [The Standard para. 3]

- 3.1 The Authority shall draw up, document and implement a service delivery plan in accordance with the Service Planning Guidance in Chapter 1 of the Framework Agreement
- 3.2 A performance review shall be carried out by the Authority at least once a year based on the service delivery plan, documented and submitted for appropriate member approval.
- 3.3 Any variance in meeting the service delivery plan shall be addressed in the subsequent year's service arrangements.

Question	Answer	Comments/Evidence	Auditors Notes
Does the Authority have a service plan?	Yes/No	Document review	The service plan should be provided prior to the visit. Auditors should check the document or documents against the Food Law Enforcement – Service Planning Guidance. The plan should ideally address all the relevant areas in the Guidance. However, the plan may be written in a corporate format, and the information might not be within one document. Auditors will need to look carefully through the paperwork provided, and follow up any areas where information is not available. (It is likely that the paperwork available for other sections of the audit will provide some answers).

Question	Answer	Comments/Evidence	Auditors Notes
Does the service plan (or other supporting documentation) provide sufficient detail relevant to the imported food control function?	Yes/No		<p><i>The following areas of the Service Planning Guidance will be relevant to the imported food control function:</i></p> <ul style="list-style-type: none"> • Aims and objectives of the service; • Links to corporate objectives and plans; • Profile of the Authority; • Organisational structure identifying officers with specialist and managerial responsibilities for imported food control/port health; • The scope of the imported food controls/port health service; • The demands on the imported food control/port health service; • Enforcement Policy; • Food/feed complaints; • Home Authority; • Food/feed inspection & sampling; • Advice to business; • Details of the liaison arrangements in place; • Promotional activities; • Financial allocation; • Staffing allocation (staff needed/available); • Staff development plan; • Quality assessment, including relevant monitoring arrangements and any external accreditation; • Performance review against the service plan; • Identification of any variation from the service plan; • Areas of improvement; • The service plan may include performance indicators specific to imported food control.
Did Members agree the plan?	Yes/No	Document review Date and Member forum:	Auditors will need to see a copy of the relevant minutes for verification.

Question	Answer	Comments/Evidence	Auditors Notes
Are staff aware of the service plan?	Yes/No	Officer interviews	Implementation should be checked on site. Staff at all levels should be aware of the service plan. Auditors should expect the lead officer to be aware of the service planning process and the Authority's PIs. Officers and technical staff should be aware of the PIs/relevant Service targets and their role in fulfilling them. It would be good practice to see staff involved in the development of the plans and any associated PIs.
Has the Authority undertaken an annual review of their performance?	Yes/No	Document review/PVQ	The auditor should look for a documented review of Service activity.
Has the review been submitted to the appropriate Member forum?	Yes/No	Document review/PVQ Date and Member forum:	Auditors will need to see a copy of the relevant minutes. Auditors should have in mind that the reason for the submission of the review to the Member forum is to ensure that the detail of the review is in the public domain and that Members are aware of the Service's performance. Reviews should be undertaken on at least an annual basis.
Has the submission been made in the last year?	Yes/No		
Following the review were actions to address any variations from the service plan included in the following year's arrangements?	Yes/No	Document review/PVQ/ Officer interview (if necessary)	Give brief details of the variations and the proposed action to redress these. Where the following years' arrangements do not include proposed action on the variations, the auditor should interview the appropriate manager to identify and verify any decisions that may have been made, the detail of which should be recorded on this protocol.
Are there clear links between the service plan and the PIs in the Best Value Performance Plan?	Yes/No	Document review	The auditor should look for consistency between the service plan and the Best Value Performance Plan. It should be clear how the Service's performance feeds into the Authority's overall objectives.

Documents: BVPP (Appropriate sections), service plan, performance review, copy of committee report agreeing service plan and review.

Statistics: service budget, no. of staff, no. of full time equivalents, OCD returns.

(IFP/2) Reviewing and Updating of Documented Policies and Procedures [The Standard para. 4]

4.1 The Authority shall ensure that all documented policies and procedures for each of the enforcement activities covered by this Standard are reviewed.

NOTE: This should normally be at regular intervals and whenever there are changes to legislation or centrally issued guidance.

4.2 The Authority shall set up, maintain and implement a control system for all documentation, which may be in electronic format, relating to its enforcement activities. The system shall ensure that:

- a) up to date copies of the appropriate documentation including legislation and guidance are available at all relevant locations and to all relevant staff;
- b) all changes to documents or amendments to documents are covered by the correct authorisation and are carried out without undue delay to ensure timely availability; and
- c) superseded documents are removed from use throughout the Authority.

Question	Answer	Comments/Evidence	Auditors Notes
Is there a document control system for the Authority's policies and procedures?	Yes/No	Audit check Detail:	<p><i>NB: The control system does <u>not</u> need to be documented.</i></p> <p>The quality control manual/documented procedures should be examined. Sampling of documentation at differing locations should identify if the system is working correctly. There should be at least one controlled copy of policies and procedures available at each office base and/or on the electronic administration system.</p>
How are reviews of documented policies and procedures programmed?		Audit check. Detail:	There should be evidence of a regular review (programmed) of policies and procedures. Auditors should check re-issue dates.

Question	Answer	Comments/Evidence	Auditors Notes
<p>How are ad-hoc changes made to documented policies and procedures in response to:</p> <ul style="list-style-type: none"> • new legislation? • non-conformances highlighted during monitoring/internal audit? 		<p>Audit check/Officer interviews. Detail:</p>	<p>Auditors should check for recent changes, to check timeliness, and that changes are covered by correct authorisation.</p>
<p>Are up to date copies of appropriate documentation including legislation and guidance available at all relevant locations and to all relevant staff?</p>	<p>Yes/No</p>	<p>Checklist (IFC) J/Officer interviews.</p>	<p>Auditors should ensure that checklist has been updated to reflect any newly issued guidance.</p> <p><i>NB: Appropriate documentation may be in an electronic format (eg the GRAIL system)/accessible from websites – auditors should check officer access.</i></p>
<p>Are any superseded documents in use at the Authority?</p>	<p>Yes/No</p>	<p>Checklist (IFC) J/Officer interviews.</p>	<p>Checks should be made to ensure officers are not working from uncontrolled and therefore out of date procedures/documents or legislation.</p>

Documents: procedure (if documented) for document control.

(IFP/3) Authorised Officers [The Standard para. 5].

- 5.1 The Authority shall set up, maintain and implement a documented procedure for the authorisation of officers based on their competence and in accordance with the relevant Food Safety Act Code of Practice and any centrally issued guidance.
- 5.2 The Authority, where it is responsible for the enforcement of food hygiene, food standards and/or feedingstuffs legislation, shall appoint an officer/s with specialist knowledge to have lead responsibility for that legislation. Where the Authority has specific responsibilities, for example, it is a UK point of entry or it has establishments approved under product specific legislation, it should ensure that officers have the necessary specialist knowledge.
- 5.3 The Authority shall appoint a sufficient number of authorised officers to carry out the work set out in the approved service delivery plan and they shall have suitable qualifications, training and experience consistent with their authorisation and duties in accordance with the relevant Food Safety Act Code of Practice.
- 5.4 The Authority shall set up, maintain and implement a documented training programme. The Authority shall ensure the training of all authorised officers and appropriate support staff in the technical and administrative aspects of the work in which they will be involved. Where training is provided, details of the content and objectives of the course, the duration and any assessment made of that training shall be maintained on file. The training given shall depend upon the ability, qualifications, experience and responsibility of persons involved and their level of authorisation.
- 5.5 Records of relevant academic or other qualifications, training and experience of each authorised officer and appropriate support staff shall be maintained by the Authority in accordance with the relevant Food Safety Act Code of Practice.

Question	Answer	Comments/Evidence	Auditors Notes
Any problems identified with the LA's scheme of delegated authority? <ul style="list-style-type: none"> • Officer authorisations • Prosecutions/formal cautions • Notices 	Yes/No	Document review Detail:	The scheme of delegated authority should be coherent and complete, with provision for the delegation of all relevant IF enforcement powers. Auditors may also find evidence of authorisation inconsistencies during the audit checks of records of enforcement actions.
Does the Authority have a documented procedure covering authorisations?	Yes/No	Document review/PVQ	An authorisation procedure should cover: <ul style="list-style-type: none"> • delegated powers - who is authorised to do what and what qualifications are required; • who is authorised to approve legal proceedings (auditors will need to confirm these delegations through the Authority's standing orders and scheme of delegation); • the arrangements in place for refresher and induction training; • the assessment process to ensure and demonstrate that the Authority has assessed the competence of the authorised officers in accordance with CoP 1.2 and with regard to specialist training needs.

Question	Answer	Comments/Evidence	Auditors Notes
Are other officers/agency/temporary staff used for imported food/Port Health work, including out-of-hours cover?	Yes/No	PVQ (Annex)/Audit checks Checklist (IFC) A/All enforcement actions checklists	Check that those officers involved are all listed on annex of the PVQ.
Are all staff involved in imported food/port health work appropriately authorised?	Yes/No	Document Review (PVQ Annex) Checklist (IFC) A/All enforcement actions checklists	The Auditor should check the authorisations against the qualifications of the officers from the PVQ information. Auditors should also ensure that original certificates have been checked and verify with examining bodies as necessary. The authorisations should also be checked against the process set out in the Authority's own procedure. Agency and/or non-specialist IF enforcement staff should fulfil the same qualification criteria and be properly authorised by the LA, in accordance with the authorisation procedure.
Are their authorisations consistent with their qualifications, training and experience and *CoP requirements?	Yes/No	Checklist (IFC) A	If generic authorisations have been conferred, then auditors should test through interview and file checks that the officers are aware of any limitations placed on their authorisations and that authorisations are in accordance with their <i>individual</i> levels of qualification, training, experience, and with CoP requirements. If authorisations identify specific subordinate legislation, auditors should ensure that all relevant statutory instruments are included.
Are officers acting in accordance with their authorisations?	Yes/No	Audit checks/all enforcement actions checklists	

*Authorisations must be in accordance with officers' individual levels of qualification, training, experience and CoP requirements: **General** – CoP 1.2.2. **Food hygiene** – CoP 1.2.9.1 - qualification/ competencies; FS Act seizure/ detention CoP 1.2.9.1.7 – EHO, OVS, Authorised officer (Meat Inspection Regs. 1987). **Food standards** – CoP 1.2.9.2 – qualification/ competencies. **Food Sampling** – Only officers trained in appropriate techniques to take samples for microbiological examination or chemical analysis. Officers must be qualified in accordance with CoP 1.2.9 where formal action may result.

Question	Answer	Comments/Evidence	Auditors Notes
Training			
How are officer/Service training needs identified?		Document review/Officer interview Detail:	
Has the Authority established a training programme?	Yes/No	Document review	
Are officer qualifications and training records maintained?	Yes/No	Document review/Audit check	
Are records of the content, objectives, duration and assessments of training maintained?	Yes/No	Document review/Audit check	

Documents: training programme (current and previous years), authorisation procedure, scheme of delegation, qualification/training records, relevant pages from standing orders, training budget.

(IFP/4) Facilities and Equipment [The Standard para. 6].

- 6.1 The Authority shall make available the necessary facilities and equipment to permit all activities associated with the service to be carried out.
- 6.2 The Authority shall set up, maintain and implement a documented procedure to ensure that equipment is properly maintained and calibrated, and removed from service when found to be defective.
- 6.3 Relevant information about the equipment shall be recorded.

NOTE: This should normally include identification, calibration status and the results of any in service checks.

- 6.4 Any computer software package or other method of record administration used by the Authority shall be capable of providing any information reasonably requested by the Food Standards Agency. Such systems shall be operated in such a way so as to be able to provide required information to the Agency.
- 6.5 The Authority shall set up, maintain and implement appropriate back up systems for any electronic databases and systems or documented procedures which have been designed to minimise the risk of corruption or loss of information held on its databases. The Authority should ensure that reasonable security measures are in place to prevent access and amendment by unauthorised persons.

Question	Answer	Comments/Evidence	Auditors Notes
Has the Authority identified the equipment and facilities it requires?	Yes/No	Document review/Checklist (IFC) B	Auditors should identify if the Authority has carried out an assessment of their needs. If so a check against their assessment should be made. Checklist (IFC) B gives guidance on what might be expected.
Are the equipment and facilities available?	Yes/No	Audit check	Some equipment may not be required on a regular basis and some authorities may, in these circumstances, have documented arrangements to borrow necessary items from neighbouring LAs.
Does the Authority have a documented procedure in relation to calibration and defective equipment?	Yes/No	Document review	Auditors should ascertain the types and quantities of equipment used by the Authority. Are all pieces of equipment adequately covered?

Question	Answer	Comments/Evidence	Auditors Notes
Does the procedure cover:		Checklist (IFC) C	
• The equipment to be calibrated	Yes/No		
• Frequency of checks	Yes/No		
• Method of calibration	Yes/No		
• Tolerances	Yes/No		
• Action to be taken where results are outside tolerances	Yes/No		
• Recording of results	Yes/No		
• Checks before and after taking readings that could be used in formal enforcement action	Yes/No		
• Isolation of defective equipment.	Yes/No		
Is the procedure implemented?	Yes/No	Checklist (IFC) C/Staff interviews.	Staff should be interviewed. Are staff aware of the procedure? What would they do if equipment were faulty?
Are records kept of the calibration and maintenance of equipment?	Yes/No	Checklist (IFC) C	Auditors may choose to observe the calibration of an item of equipment to verify that procedures are adhered to.

Question	Answer	Comments/Evidence	Auditors Notes
Database			
Is the Authority's recording system capable of providing accurately the information required by the FSA?	Yes/No	System used:	<p>Auditors should obtain the relevant monitoring information received by the FSA (eg S.7 of the monitoring form/sampling returns) and cross-reference it with the LA's records. If this information has not been provided then the auditor should investigate the reason and discuss any queries regarding accuracy with the Agency's Monitoring Branch.</p> <p>Auditors should check the Authority's statistical returns for sampling and formal actions where provided separately (NB food seizures made under the Food Safety Act only should be reported).</p> <p>Any differences between the statistical returns, the LA's records, the information obtained from the PVQ provided by the LA (e.g. in the Service Plan) and/or the CHIEFS (Customs) data (where available) should be investigated.</p>
If <i>NO</i> , is the failure due to the recording system, or <i>other reasons</i> ?		Details:	
Have there been problems with the LA's official monitoring returns?	Yes/No	Validation reports run from the LA's database on site/on site cross-referencing checks. Details:	
If <i>YES</i> , any measures taken to address these problems?		Details:	

Question	Answer	Comments/Evidence	Auditors Notes
Does the Authority have systems/procedures in place to prevent corruption of its database(s) <i>(LAs may have databases of imported food samples/checked food consignments).</i>	Yes/No	Document review/Officer interview	Auditors should check the systems/procedures <i>(NB these do not need to be documented).</i> Arrangements might include: <ul style="list-style-type: none"> • Restricted access for entering and deleting premises; • Documented input protocols; • Training of input staff; • Mandatory fields; • Dedicated input staff; • Relevant data codes.
Are the procedures implemented?	Yes/No	Audit check/Staff interview Detail:	Auditors should check whether any other sections or department have access to the database and the extent of that access. Auditors should confirm that appropriate controls are in place. Auditors may need to interview the Systems Administrator.
What arrangements does the Authority have to backup the computer database?		Detail:	Arrangements should provide for off-site storage of back-up data.
Is access to the computer system controlled?	Yes/No	Document review/Officer interview	Auditors should expect to find a password system in place. Passwords should be changed regularly and each individual should be allocated one. The purpose of passwords is to limit access and to enable the internal audit log to detail that person's activity. Auditors should pay particular attention to shared computers where, once accessed, the system can be used by anyone.

Documents: calibration procedure, procedures to minimise corruption or loss of database information (if documented).

(IFP/5) Food and Feedingstuffs Complaints [The Standard para. 8]

- 8.1 The Authority shall set up, maintain and implement a documented policy and procedure(s) in relation to food and feedingstuffs complaints that originate within the UK, and those foods and feedingstuffs originating from other EU member states, or from third countries and in relation to complaints against food premises. Procedures should cover any referral arrangements to inland authorities and/or authorities with responsibility for imported food and feedingstuffs controls at the UK point of entry.
- 8.2 The Authority shall investigate complaints received in accordance with the relevant Food Safety Act Code of Practice, centrally issued guidance and the Authority's policies and procedures.
- 8.3 The Authority shall take appropriate action on complaints received in accordance with the Authority's enforcement policy.

Question	Answer	Comments/Evidence	Auditors Notes
Does the Authority have a policy on the investigation of imported food complaints?	Yes/No	Document review	The policy may include specific reference to referrals from other authorities receiving foods imported via this Authority and any relevant Performance Indicators.
Are all complaints investigated in accordance with the policy?	Yes/No	Audit check/Checklists (IFC) G & L	
Does the Authority have procedure(s) on the investigation of imported food complaints?	Yes/No	Document review	
Do they include:		Document Review	LACORS' 'Guidance on Food Complaints (2)'
• Receipt/traceability/storage of complaints;	Yes/No		
• Determining the enforcement responsibility;	Yes/No		
• Investigation;	Yes/No		
• Contact with the supplier/ manufacturer/importer;	Yes/No		

Question	Answer	Comments/Evidence	Auditors Notes
<ul style="list-style-type: none"> Involvement of home or originating authority (beginning and end of investigation); 	Yes/No		
<ul style="list-style-type: none"> Submitting samples for scientific investigation; 	Yes/No		
<ul style="list-style-type: none"> Notification to FSA /RASFF (and other formal notifications) in appropriate cases; 	Yes/No		
<ul style="list-style-type: none"> Single Liaison Body referral; 	Yes/No		
<ul style="list-style-type: none"> Contact with the complainant. 	Yes/No		
<p>Does the Authority have the ability to identify home and originating authorities?</p>	Yes/No	<p>Audit check Detail:</p>	
<p>Are the procedures implemented – has appropriate follow-up action been taken on all complaints?</p>	Yes/No	<p>Checklists (IFC) G & L</p>	

Documents: complaints policy, service plan, complaints procedure

Statistics: No. complaints.

(IFP/6) Home Authority Principle [The Standard para. 9]

- 9.1 The Authority shall provide advice to businesses on legal compliance where they act as home and/or originating authority.
- 9.2 The Authority shall have regard to any information or advice it has received from any liaison with home and/or originating authorities.
- 9.3 The Authority shall liaise with the home and/or originating authority of a company whose premises have been inspected and offences identified which are, or appear to be, associated with the company's centrally defined policies and procedures.
- 9.4 During a complaint investigation, the Authority shall liaise with the home and/or originating authority regarding matters which are or may be associated with the company's centrally defined policies or procedures.
- 9.5 The Authority shall liaise with the home and/or originating authority of a company in relation to any unsatisfactory samples which are or may be associated with the company's centrally defined policies or procedures.
- 9.6 The Authority, having initiated liaison with any home and/or originating authority, shall notify that authority of the outcome.

Question	Answer	Comments/Evidence	Auditors Notes
Does the Authority support the Home Authority Principle?	Yes/No	Document Review	<p>This policy statement should be within the Authority's service plan – the policy may include references specific to imported foods.</p> <p>A Food Authority that is unable to adopt, implement or adhere to the H/A Principle must firstly discuss the matter with LACORS and if the matter cannot be resolved, discuss further with the Agency – CoP – 1.1.7.</p>
Has the Authority been asked to act as home authority for any local imported food businesses?	Yes/No	Document review/Officer interviews Detail:	
Does the Authority act as home authority for any local imported food businesses?	Yes/No	Document review/Officer interviews/Audit check Detail:	Auditors should identify those businesses for which the Authority acts as home authority. If the Authority has written home authority agreements, copies should be examined.

Question	Answer	Comments/Evidence	Auditors notes
Has the Authority followed up referrals made to it by other LAs?	Yes/No	Officer interviews/Audit check/Checklist (IFC) L	Auditors should check a number of home authority records. It should be clear that the Authority has appropriately investigated referrals in accordance with their policy and agreed in writing any corrective action required by the company and a closing date by which the action should be taken.
What level of assistance is offered to other authorities on relevant businesses for which the Authority is home/originating authority?		Document review/Audit check	
How does the Authority ensure that officers liaise with home or originating authorities?		Audit check Detail:	Auditors should check whether the Authority holds details of any home authorities for relevant importers.
Is there evidence that the policy on the Home Authority Principle is followed?		All enforcement actions checklists	

Documents: examples of any home authority agreements

Statistics: numbers of home authority premises.

(IFP/7) Advice to Business [The Standard para. 10]

10.1 The Authority shall work with businesses to help them comply with food and feedingstuffs legislation.

Question	Answer	Comments/Evidence	Auditors Notes
Does the Authority work with business to help them comply with relevant food law?	Yes/No	Detail of action and evidence:	<p>For example this may include:</p> <ul style="list-style-type: none"> • The provision of advice lines and/or facilities to receive personal callers during office hours; • Business information sheets; • Responding to queries, including written clarification when appropriate; • Proactively providing guidance on relevant legal requirements/update advice. <p>Auditors will need to verify any initiatives as far as is practicable. If advice is given it must be accurate and reflect current practice [CoP 4.4.2]. Auditors should check any home produced leaflets/advice. They may also wish to ring any advice line to verify the accuracy of the advice given.</p> <p>Auditors may check to see if there is a budget allocation for this work. Agendas and minutes of any meetings held with businesses may be required. Auditors may also check records of any evaluations of advisory activities.</p>
Has the Authority ensured that potential or actual conflicts of interest do not arise?	Yes/No		<p>Food Authorities should ensure that officers are aware of potential conflicts of interest that may arise in enforcement situations through promotion of the Authority's services, including as a result of Home and Originating Authority responsibilities and sub-contracting services for enforcement purposes. Authorities/officers should avoid promoting their services exclusively if other providers exist in the area [CoP 1.3.2].</p>

Documents: examples of any unique advisory letters or leaflets, minutes of any business liaison meetings, outcomes of consultation, budget allocation, any evaluation documents.

(IPP/8) Food and Feeding Stuffs Inspection and Sampling [The Standard para. 12].

[NB: Formal enforcement actions carried out following inspection/sampling also covered by para. 15 of The Standard 'Enforcement']

- 12.1 The Authority shall ensure that food and feedingstuffs are inspected in accordance with relevant legislation, Food Safety Act Codes of Practice and centrally issued guidance to ensure that food and feedingstuffs meet legally prescribed standards.
- 12.2 The Authority shall take appropriate action on any non-compliance found in accordance with the Authority's enforcement policy.
- 12.3 The Authority shall set up, maintain and implement documented procedures for the inspection of food and feedingstuffs.
- 12.4 The Authority shall set up, maintain and implement a documented sampling policy and programme that shall accord with any centrally issued or relevant guidance, and relevant Food Safety Act Code of Practice and shall include reference to its approach to any relevant national sampling programme centrally co-ordinated by the Food Standards Agency.

NOTE: The Authority should consider the nature of its food and feedingstuffs establishments, and where applicable the nature of imported foods and feedingstuffs, and also have regard to any relevant sampling programme centrally co-ordinated by LACOTS and the HPA and in Scotland, SFELC (the Scottish Food Enforcement Liaison Committee), in Wales the Welsh Food Microbiological Forum and in Northern Ireland, the Public Health Laboratory.

- 12.5 The Authority shall set up, maintain and implement documented procedures for the procurement or purchase of samples, continuity of evidence and the prevention of deterioration or damage to samples whilst under their control in accordance with the relevant Food Safety Act Code of Practice and centrally issued guidance.
- 12.6 The Authority shall carry out sampling in accordance with its documented sampling policy, procedures and programme.
- 12.7 The Authority shall take appropriate action in accordance with its enforcement policy where sample results are not considered to be satisfactory.
- 12.8 The Authority shall, where appropriate, ensure a Public Analyst, and/or Agricultural Analyst is appointed to carry out examinations and analyses of food and feedingstuffs samples. In making these appointments all relevant legal requirements and Food Safety Act Codes of Practice shall be satisfied. All samples for examination should be submitted to a Food Examiner at a laboratory accredited for the purpose of examination.

Question	Answer	Comments/Evidence	Auditors Notes
INSPECTION OF FOOD	Reference should be made to the FSA official guidance: 'Guidance for Local Authorities in Great Britain on Imported Food and Feed Controls (June 2004)' www.food.gov.uk/foodindustry/guidancenotes/foodguid/importedfoodfeedcontrols		
Does the Authority have documented procedures for imported food checks?	Yes/No	Document review	<i>NB: This is not a current requirement of the Standard, but is good practice.</i>

Question	Answer	Comments/Evidence	Auditors Notes
If yes, do the procedures/systems in place cover:		Document review	
<ul style="list-style-type: none"> • Arrangements for identifying all arrivals of food consignments from third countries? 	Yes/No		The Authority should have arrangements in place to ensure that it is aware of the consignments landed. These may include (in)formal arrangements with Customs and/or other Port agencies to obtain sight of manifests/bills of lading etc.
<ul style="list-style-type: none"> • A risk based approach and surveillance to identify unknown problems? 	Yes/No		Where 100% checking is not practical, an effective regime will be risk based and include the following considerations: <ul style="list-style-type: none"> • Food alerts; • Mandatory check foods; • Specific importers/countries/foods with history of problems; • Foods for immediate consumption; • New/unknown brands; • Sampling programme(s); • Microbiological/chemical risk • Surveillance; • Any seasonal considerations.
<ul style="list-style-type: none"> • Criteria for holding consignments prior to checks? 	Yes/No		This may include the identification and detention of consignments electronically or by notification to prohibit import until checks or investigations have been completed.
<ul style="list-style-type: none"> • Document checks? 	Yes/No		
<ul style="list-style-type: none"> • Physical checks? Including: • labelling checks; • contamination; • seal checks. 	Yes/No		The Food Labelling Regs. 1996 (as amended). <i>NB: An offence is not committed until point of sale – look for evidence that the Authority has liaised with and notified the receiving authority.</i>
<ul style="list-style-type: none"> • Checks of foods subject to specific control measures? 	Yes/No		These concern, primarily, nuts and dried fruits from specific countries. Organic foods are subject to a verification process. <i>Emergency/ interim arrangements for controls on GM corn gluten feed and brewers grains from the USA – consignments produced from GM maize to be certified as free of the unauthorised GM organism 'Bt10'.</i>

Question	Answer	Comments/Evidence	Auditors Notes
<ul style="list-style-type: none"> • Re-sealing opened containers? 	Yes/No		This is not a requirement but is deemed good practice.
<ul style="list-style-type: none"> • Stowage/container condition? 	Yes/No		
<ul style="list-style-type: none"> • Packaging materials in contact with food? 	Yes/No		The Materials in Contact with Food Regs. 1987. The Plastic Materials & Articles in Contact with Food Regs. 1998.
<ul style="list-style-type: none"> • Deferred inspections/ERTS? 	Yes/No		The IFR allow for the examination of foods to be deferred and undertaken by the LA at the place of destination. Either the Authority at the point of entry or the importer can request deferral – the decision rests with the former. If deferral is agreed, the importer must give written undertaking that food will be sealed until reaches specified destination.
<ul style="list-style-type: none"> • Notification/liaison arrangements for release of detained food and/or for which unsatisfactory sample results received? 	Yes/No		The Imported Food Regs. 1997 require consultation with person in control of food prior to release and, where relevant, notification to receiving LA if food unsatisfactory.
<ul style="list-style-type: none"> • Procedure for moving goods under detention? 	Yes/No		i.e. to more secure/improved temperature controlled facilities.
<ul style="list-style-type: none"> • Proper disposal of seized/surrendered/unsafe foods? 	Yes/No		The POAO (TCI) Regs '02 do not permit landfill for disposal, only incineration and rendering. In Customs controlled areas, Customs will now have responsibility for this.
In practice, has the Authority identified all food consignments arriving?	Yes/No		Auditors should consider the measures adopted to identify consignments and cross reference data on imported foods from other sources (e.g. Customs) and data on vessel arrivals.
Have T1 status & 3 rd country imported foods been separately identified from those in free circulation?	Yes/No		Has the Authority been able to separate the different categories of imported foods and dealt with them accordingly? <i>(T1 status goods are duty payable at the point of destination and will not have received prior inspection – the Authority will need to identify those which require examination at this point of entry).</i>

Question	Answer	Comments/Evidence	Auditors Notes
Have all consignments subject to statutory testing been identified?	Yes/No		Auditors can cross check the LA's records with the CHIEF Customs data. <i>NB: Current concerns regarding irradiated dietary supplements – auditors should check whether these products are imported and the level of checking.</i>
Have all checks been carried out in accordance with the procedures and official guidance?	Yes/No	Enforcement actions checklists	Has a risk based approach been taken to identifying consignments for checking and is this effective in practice?
Where informal detention/holding arrangements have been used, are these satisfactory and effective?	Yes/No	Detail:	
Have any rejections been properly notified to the FSA Contaminants Division where appropriate?	Yes/No	Detail:	
Has the Authority identified any consignments of smuggled/illegal POAO?	Yes/No	Checklist (IFC) K	
Was the consignment properly notified?	Yes/No		All seizures of illegal consignments of POAO must be notified to DEFRA /ILAPS. FS Act CoP 16/20 procedures may also be relevant.
Are any inspections of feeding stuffs carried out? <i>NB: Auditors should be aware of the emergency/ interim arrangements for controls on GM corn gluten feed and brewers grains from the USA – consignments produced from GM maize to be certified as free of the unauthorised GM organism 'Bt10'.</i>	Yes/No		Auditors will need to explore whether any imports of feeding stuffs (NAO) are notified through to TS services and if any examinations are carried out at the port. <i>(NB: Imported Feedingstuffs are the responsibility of the receiving Authority – there are no statutory obligations on the Authority at the point of entry (unless the port is the responsibility of a unitary LA) but it is good practice for the port local authority to notify receiving TS services).</i>

Question	Answer	Comments/Evidence	Auditors Notes
SAMPLING		Document review	
Does the Authority have a documented sampling policy?	Yes/No		CoP – 6.1.2.
Does the sampling policy take into account:			
• Imported foods?	Yes/No		
• A risk based approach?	Yes/No		
• Home authority premises?	Yes/No		
• ERTS?	Yes/No		(ERTS = Enhanced Remote Transit Sheds)
Does the Authority have a sampling procedure?	Yes/No		
If YES, does the sampling procedure cover:		Document review	
• Mandatory sampling and testing?	Yes/No		The Contaminants in Food Regs. prescribe mandatory checks and decision levels for the degree of mycotoxin contamination (satisfactory/further processing required/unfit), and labelling requirements if not satisfactory.
• Procurement of samples?	Yes/No		
• Sample size?	Yes/No		Procedures may reference centrally issued protocols that cover sample size/method.
• Method of sampling (hot, cold, frozen, solid, liquid, bulk etc)?	Yes/No		
• Equipment required?	Yes/No		
• Sealing, labelling, bagging?	Yes/No		
• Documentation?	Yes/No		
• Results and further action?	Yes/No		

Question	Answer	Comments/Evidence	Auditors Notes
<ul style="list-style-type: none"> Contact with other LAs on unsatisfactory results/labelling including home authorities? 	Yes/No		
<ul style="list-style-type: none"> Traceability/continuity of evidence? 	Yes/No		
<ul style="list-style-type: none"> Link with FHW/notification procedures/RASFF? 	Yes/No		(RASFF = Rapid Alert System for Food & Feed)
<ul style="list-style-type: none"> Contact with PA/HPA? 	Yes/No		(PA = Public Analyst/HPA = Health Protection Agency)
<ul style="list-style-type: none"> Re-sealing consignments? 	Yes/No		Not a requirement but deemed good practice.
<ul style="list-style-type: none"> Storage and transport of samples? 	Yes/No		
Does the Authority have a documented sampling programme {CoP – 6.1.2}?	Yes/No	Document review	It may not be practical or appropriate for the Authority to develop a documented annual sampling programme for imported foods – in these circumstances auditors should ensure that sampling is being carried out in accordance with the Authority’s policy.
Is the programme in accordance with the sampling policy?	Yes/No	Document review	
Is the sampling programme being implemented?	Yes/No	Officer interview/Audit checks	Auditors should note that monitoring returns will also give an idea of activity prior to the audit. If the LA has not met its programme, any review carried out with the Public Analyst/Food Examiner should be checked to determine the reasons.
Have consignments covered by statutory testing requirements been dealt with in accordance with the relevant official controls?	Yes/No	Checklist (IFC) I	

Question	Answer	Comments/Evidence	Auditors Notes
Has action followed sample results that were not considered satisfactory?	Yes/No	Checklists (IFC) H & I	The Auditor will need to examine records of sampling activity. Where samples have been unsatisfactory, the records/officer interviews should establish whether appropriate action has been taken. The Food Examiner's or Public Analyst's report will give an indication whether the food met legal requirements and if further investigation was necessary.
Are all microbiological and formal food standards food samples submitted to an Official Control laboratory?	Yes/No	Checklists (IFC) H & I	Details of the Public Analyst and the Food Examiner should be within the service plan information and provided with the PVQ information. The List of official labs can be found at http://www.foodstandards.gov.uk/food/industry/lablist.htm
If applicable, are all feeding stuffs samples sent to the Agricultural Analyst?	Yes/No	Checklist (IFC) H	

Documentation: sampling policy, sampling procedures, sampling programmes (current and last year's), appointment letters for PA and AA (where applicable), SLA with lab(s)/Customs, procedure for imported food checks, sampling budget.

Statistics: Numbers of samples taken, verification of OCD statistics:

Section 6

- Sampling details

Section 7

- No. consignments of NAO entry
- No. consignments checked
- No. consignments rejected, etc.

(IFP/9) Food Safety Incidents [The Standard para. 14].

- 14.1 The Authority shall set up, maintain and implement a documented procedure for initiating and responding to food hazard warnings in accordance with the relevant Food Safety Act Code of Practice. For UK points of entry, this procedure should also address RASFF notifications and relevant EC decisions. This procedure shall include out of hours contact arrangements.
- 14.2 The Authority shall maintain a computer system capable of receiving food hazard warnings.
- 14.3 The Authority shall document its response to and the outcome of each food hazard warning.
- 14.4 The Authority shall set up, maintain and implement a documented procedure for responding to food safety incidents.

NOTE: Food safety incidents might be notified as part of the food hazard warning system (see 14.1 above) or as a separate notification from the Food Standards Agency.

- 14.5 The Authority shall notify the Food Standards Agency of any serious localised incident or a wider food safety problem in accordance with the Food Safety Act Codes of Practice or feedingstuffs legislation.

Question	Answer	Comments/Evidence	Auditors Notes
Does the Authority have a documented procedure for dealing with food incidents/RASFF? [CoP – 1.7.2]	Yes/No	Document review	NB FS Act 1990 (Amendment) Regs 2004 places obligations on food businesses to recall/withdraw food not in compliance with food safety requirements <i>and notify Agency & relevant enforcement authority.</i>
Does the procedure include arrangements for responding to RASFF notifications and EC Decisions?	Yes/No		
Is the procedure in accordance with the Code of Practice? [CoP – 1.7.2 & 2.1.1/Std. 14.1]	Yes/No		
Does the Authority have a computer system capable of receiving food alerts?	Yes/No		The computer system will need to be connected to either TS link, EHC net or RASFF.
Does the Authority document its response to each food alert? [Std. 14.3]	Yes/No	Audit check	

Question	Answer	Comments/Evidence	Auditors Notes
Has the Authority's responses to food alerts/RASFFs been adequate? [CoP – 2.1.5]	Yes/No	Audit check	Auditors should investigate the Authority's records of food alerts/FSA guidance letters and responses. [Can be checked as part of documentation audit (Checklist (IF) J)]
Does the Authority have out of hours cover arrangements for the port?	Yes/No	Audit check Detail:	<ul style="list-style-type: none"> Green "Directory of Environmental Health Departments" contact details [CoP – 2.1.4] APHA Handbook (IF LA is a member) <p>Auditors will need to cross-reference this issue with the officer authorisation and food inspection procedures.</p> <p>[Food incidents – system still to be determined for feeding stuffs]</p>
Has the Authority had any incident that could be classified as a serious localised incident or a wider food safety problem related to imported foods?	Yes/No	Officer interviews/audit checks Detail:	<p>Auditors will need to check whether the results of imported food inspections/sampling have required CoP 2.1 national alert procedures.</p> <p>Serious local incidents, where the Authority has issued a media release, should be copied to the Agency with information of any objections to the release of information raised by the food business. [CoP – 1.7.10].</p>
Did the Authority notify the FSA/ RASFF and/or DEFRA as appropriate?	Yes/No	Officer interviews/Audit check Detail:	
Are officers aware of this provision of the codes/RASFF/DEFRA notification arrangements?	Yes/No	Officer interviews	

Documents: Procedure on Food Alerts.

(IFP/10) Enforcement [The Standard para 15].

15.1 The Authority shall set up, maintain and implement a documented enforcement policy, in accordance with the relevant Food Safety Act Codes of Practice, the Enforcement Concordat and other official guidance, approved by the relevant Local Authority Member forum.

NOTE: The enforcement policy or an accurate summary should be readily available to the public and food businesses in the Authority's area.

15.2 The Authority shall set up, maintain and implement documented procedures for follow up and enforcement actions in accordance with the relevant Food Safety Act Codes of Practice and official guidance.

15.3 The Authority shall carry out food law enforcement in accordance with the relevant Food Safety Act Codes of Practice and centrally issued guidance.

15.4 All decisions on enforcement action shall be made following consideration of the Authority's enforcement policy. The reasons for any departure from the criteria set out in the enforcement policy shall be documented.

Question	Answer	Comments/Evidence	Auditors Notes
Has the Authority adopted the Enforcement Concordat?	Yes/No	Document review/Officer interview	
Does the Authority have a written enforcement policy? [CoP – 3.1.1]	Yes/No	Document review	
Has the policy or a summary been published?	Yes/No	Audit check Detail:	
Is it relevant to imported foods?	Yes/No	Detail:	The policy may, for example, provide statements on the Authority's approach to the use of warning letters/enforcement notices/notifications and referrals and prosecution.
Has the appropriate member forum approved the policy?	Yes/No	Date: Forum:	The committee minutes should be available to verify this approval. The forum chosen should ensure that the policy is made public.
Are officers aware of the contents of the policy?	Yes/No	Officer interview	

Question	Answer	Comments/Evidence	Auditors Notes
Is there evidence of it being implemented?	Yes/No	Audit check Detail:	This evidence may be in the form of coversheets on prosecutions or notes in relation to follow up on inspections of food demonstrating that the policy has been considered, or it may be obtained through officer interview
Have any enforcement decisions been made outside the enforcement policy guidelines?	Yes/No	Enforcement actions checklists Detail:	
Have the reasons been documented?	Yes/No	Audit check	
Have all enforcement action been carried out in accordance with the enforcement policy and relevant official guidance?	Yes/No	Enforcement actions checklists	
Does the LA have documented procedures for formal follow up/ enforcement actions?	Yes/No	Document review	

Question	Answer	Comments/Evidence	Auditors Notes
Do the procedures cover:	<i>Auditors should check that the procedures are in accordance with relevant legislation & official guidance.</i>		
<ul style="list-style-type: none"> Detention and rejection under the IF Regs? Has the Authority acted in accordance with its procedure/policy/official guidance? 	<p>Yes/No</p> <p>Yes/No</p>	<p>Checklists (IFC) E & F</p> <p>Detail:</p>	<p>Food may be detained for 6 days under R.6 of the Imported Food Regs. 1997 (with enhanced detention times for some designated PNOAO). A notice may be served under S.9 of the Food Safety Act 1990 to detain for 21 days.</p> <p>If the Authority's documented procedures do not cover all/some of the above arrangements, have the key issues been adhered to in practice?</p> <p>Auditors should consider whether consignments have been held/detained/ released/ when appropriate and that appropriate follow up action has been taken.</p>
<ul style="list-style-type: none"> Detention and seizure under the FSA '90? Has the Authority acted in accordance with its procedure/policy/official guidance? 	<p>Yes/No</p> <p>Yes/No</p>	<p>Checklists (IFC) N & O</p> <p>Detail:</p>	
<ul style="list-style-type: none"> Procedure for voluntary surrender? Has the Authority acted in accordance with its procedure/policy/official guidance? 	<p>Yes/No</p> <p>Yes/No</p>	<p>Checklist (IFC) M</p> <p>Detail:</p>	
<ul style="list-style-type: none"> Prosecution and formal caution procedures Has the Authority acted in accordance with its procedure/policy/official guidance? 	<p>Yes/No</p> <p>Yes/No</p>	<p>Checklist (IFC) D</p> <p>Detail:</p>	<p>These should include references to PACE '84; CPIA '96 requirements; evidence traceability and security.</p>
<ul style="list-style-type: none"> Consignments of smuggled/illegal POAO? Has the Authority acted in accordance with its procedure/policy/official guidance? 	<p>Yes/No</p> <p>Yes/No</p>	<p>Checklist (IFC) K</p> <p>Detail:</p>	<p>Products of Animal Origin (Third Country Imports) Regulations 2002 (as amended).</p>

Documents: enforcement policy and any public versions, SLA with Legal Services, verification of OCD returns on formal enforcement actions.

(IFP/11) Records and Inspection Reports [The Standard para. 16]

- 16.1 The Authority shall maintain up to date accurate records in retrievable form for all food and feedingstuffs premises in its area and relevant checks on imported food and feedingstuffs in accordance with the relevant Food Safety Codes of Practice. These records shall include reports of all inspections and visits and the determination of compliance with legal requirements made by the authorised officer, details of action taken where non compliance was identified, details of any enforcement action taken, results of any sampling, details of any complaints and any action taken, and also relevant food and/or feedingstuffs registration, approval and licensing information.
- 16.2 All records shall be kept for at least 6 years, unless they have been marked for longer retention because of litigation or Local Government Ombudsmen review.

Question	Answer	Comments/Evidence	Auditors Notes
Are records of imported food checks, complaints/referrals from other LAs, home authority referrals, the determinations of legal compliance, actions and sampling easily retrievable?	Yes/No	Audit check	Records will be required for the checks on enforcement. This will go some way in determining whether they are retrievable. Auditors should examine the storage system and attempt to retrieve records themselves.
Do they include relevant details?	Yes/No	Actions checklists	<p>These details may be either on computer databases and/or on paper files. The information to be stored on the database and on the file should be defined by the Authority. Auditors should ensure that records are kept in accordance with the Authority's policy.</p> <p>Records of imported food activity should provide sufficient detail to identify consignments, permit adequate traceability and log any follow-up actions.</p>
Are records available for the last six years? [CoP – 4.5.4]	Yes/No	Checklists	<i>NB: It may not be appropriate for the Authority to maintain records of all vessels and food consignments for 6 years due to the volume of traffic.</i>

(IFP/12) Complaints About the Service [The Standard para. 17]

- 17.1 The Authority shall set up, maintain, implement and make readily available to the public and the food and feedingstuffs businesses in its area, a documented complaints procedure regarding complaints about the service.
- 17.2 The Authority shall investigate complaints received in accordance with the relevant centrally issued guidance.
- 17.3 A record shall be made of all complaints received and of the actions taken by the Authority in response to those complaints.

Question	Answer	Comments/Evidence	Auditors Notes
Does the Authority have a documented complaints procedure?	Yes/No	Document Review	This complaint procedure need not be separate to any Authority wide procedure provided under the Enforcement Concordat.
Is it readily available to the public and to business?	Yes/No	Audit check Detail:	Auditors should request a leaflet or explanation of how to complain from the LA reception. The Authority may also have publicised its procedure in leaflets sent to homes and business.
Does the Authority keep a record of complaints made?	Yes/No	Audit check	
Does the Authority keep a record of actions taken in response to complaints made?	Yes/No	Audit check	
Have there been any complaints made about the IF Service over the last 2 years?	Yes/No	Audit check/Officer interview	
If YES, were they properly investigated?	Yes/No		

Documents: Complaints procedure and public leaflet.

(IFP/12) Liaison with Other Organisations [The Standard para. 18]

18.1 The Authority shall put in place liaison arrangements with neighbouring authorities and any other appropriate body aimed at facilitating consistent enforcement in accordance with the relevant Food Safety Act Code of Practice and centrally issued guidance.

Question	Answer	Comments/Evidence	Auditors Notes
Does the Authority have liaison arrangements in place with other local authorities, relevant to enforcement of imported food/feed controls?	Yes/No	Audit check Detail + evidence:	Relevant liaison arrangements are likely to be via food liaison groups/Port Health Authorities e.g. APHA (if a member). The Authority's arrangements should be detailed in their service plan. CoP 1.1.2 – Lead officers of District and County Council Food Authorities should ensure that effective day-to-day liaison arrangements between their authorities are in place, documented and operating satisfactorily. CoP 1.1.9 – Groups of home authorities serving the same sector of the industry should undertake regular liaison to ensure that the advice given across the same sector is consistent.
Does the Authority have liaison arrangements in place with Port Management/Operator relevant to enforcement of imported food controls?	Yes/No	Audit check Detail + evidence:	Auditors should check on in/formal arrangements for routine liaison on daily imports and proactive arrangements for liaison on a strategic approach to specific issues.
Does the Authority have liaison arrangements in place with Customs relevant to enforcement of imported food controls?	Yes/No	Audit check Detail + evidence:	
Where appropriate, does the Authority have arrangements for liaison with the relevant feed enforcement authority?	Yes/No		<i>Eg Auditors should be aware of the emergency/ interim arrangements for controls on GM corn gluten feed and brewers grains from the USA – consignments produced from GM maize to be certified as free of the unauthorised GM organism 'Bt10' (FSA letter - IFD/E/05/008)</i>
Does the Authority liaise with DEFRA?	Yes/No	Audit check Detail + evidence:	
Is there evidence that this liaison is happening in practice?	Yes/No		Auditors should look for evidence of these activities when on-site e.g. minutes of last 3 meetings and confirmation that the LA was represented. There may also be records of agendas for routine scheduled meetings.
Does the Authority have a designated liaison officer?	Yes/No	Document review (PVQ Annex)	

Documents: Copies of any relevant liaison group minutes, agendas/minutes for other relevant liaison meetings.

(IFP/14) Internal Monitoring [The Standard para. 19]

- 19.1 The Authority shall set up, maintain and implement documented internal monitoring procedures in accordance with the relevant Food Safety Act Code of Practice and centrally issued guidance.
- 19.2 The Authority shall verify its conformance with this Standard, relevant legislation, the relevant Food Safety Act Codes of Practice, relevant centrally issued guidance and the Authority's own documented policies and procedures.
- 19.3 A record shall be made of all internal monitoring. This should be kept for at least 2 years.

Question	Answer	Comments/Evidence	Auditors Notes
Does the Authority have a documented monitoring procedure?	Yes/No	Document review	
Who is responsible for carrying out the monitoring?		Name(s):	
Are there nominated deputies?	Yes/No	Name(s)/Detail:	If not, auditors should check the arrangements for monitoring in the absence of the person responsible.
Does it cover monitoring of:	<i>Monitoring of the different sections of the Standard may be undertaken at differing frequencies. The aim of monitoring is to ensure compliance with official guidance, the Standard, the Authority's procedures, and for consistency of enforcement between officers. The auditor may consider making use of any third party reports in assessing conformance with this part of the Standard.</i>		
<ul style="list-style-type: none"> • Officer authorisations, in line with their individual competencies/ qualifications/ training/ experience 	Yes/No	Detail:	Include details of any competencies matrices used for this purpose.
Compliance with: <ul style="list-style-type: none"> • Official guidance? • Internal policies/procedures? • The Standard? 	Yes/No Yes/No Yes/No		<i>NB: compliance with local policies and procedures will ensure compliance with official guidance/the Standard where these have been developed to reflect the national standards.</i>
• Imported food inspections?	Yes/No		
• Imported food complaints?	Yes/No		
• Imported food sampling?	Yes/No		
Enforcement actions? i.e. <ul style="list-style-type: none"> • FS Act detentions • IF Reg. detentions • FS Act seizures • IF Reg. rejections • Prosecutions and formal cautions 	Yes/No Yes/No Yes/No Yes/No Yes/No		Auditors should check that activities that are specific to the Port/imported food are covered by the procedures, in addition to any included through generic descriptions of Food Safety Act enforcement activities.

Question	Answer	Comments/Evidence	Auditors Notes
<ul style="list-style-type: none"> RASFF/Food alert actions? 	Yes/No		
<ul style="list-style-type: none"> Frequency of monitoring? 	Yes/No		
<ul style="list-style-type: none"> Quantitative aspects of the service? 	Yes/No	Detail:	The Authority may have set performance indicators and monitor its against performance against key areas e.g.: <ul style="list-style-type: none"> Proportion of manifests checked and consignments detained pending inspection (i.e. a measure of checks) NB: 100% of manifests should be checked to inform an effective risk based approach to checking; Proportion of consignments sampled (i.e. a measure of investigations) NB: the Contaminants in Food Regs. require mandatory checks for some foods; Proportion of consignments rejected (i.e. a measure of enforcement); Target response times e.g. for examination of food; sampling turnaround times.
<ul style="list-style-type: none"> Qualitative aspects of the service 	Yes/No	Detail:	Examples of qualitative monitoring may include: <ul style="list-style-type: none"> Team meetings to discuss interpretational issues; File audits/record keeping; Review of paperwork; Prior approval of formal enforcement actions; Consistency checks.
Has the procedure been implemented?		Audit check Detail:	Auditors should check team meeting minutes and records of qualitative monitoring activity. Quantitative monitoring is likely to form part of regular management meeting, minutes, reports to Members and reviews against the service plan.
Are records of internal monitoring maintained?	Yes/No	Detail:	
Where necessary have corrective actions been identified and implemented?	Yes/No	Audit check of records	There should be evidence of corrective action where non-conformity is found. Continuing identification of the same problem could indicate that corrective action had not been effective.

Documents: internal monitoring procedures, copies of any internal reports following consistency or monitoring exercises.

(IFP/15) Third Party or Peer Review [The Standard para. 20]

20.1 The Authority shall participate in any appropriate third party or peer review process against the Standard.

Question	Answer	Comments/Evidence	Auditors Notes
Has the Authority participated in any inter authority audit scheme?	Yes/No	Document review/Officer interview Scope/detail of areas covered:	The auditor should record the scope of any audits, the dates and whether it was part of a rolling/wider programme. A copy of any audit reports should have been received with the PVQ.
Has the Authority participated in any other third party/peer review process?	Yes/No	Document review/officer interview Detail:	
If YES, what standard(s) was the audit(s) carried out against? e.g. Port Benchmarking/National guidance/the Standard/ISO etc.		Detail:	
Have corrective actions been identified during any third party/peer review process?	Yes/No	Document review/audit check	
If so, have these corrective actions been programmed as part of an action plan?	Yes/No	Audit check	
Is the Authority adhering to this action plan?	Yes/No	Audit check	
Who is responsible for following-up on implementation? e.g. the LA/the auditors?		Detail:	

Documentation: audit reports, summaries and action plans.

(IFP/16) Food and Feedingstuffs Safety and Standards Promotions [The Standard para. 21]

21.1 The Authority shall promote food and feedingstuffs safety and standards.

21.2 The Authority shall maintain records of its food and feedingstuffs safety and standards promotions.

Question	Answer	Comments/Evidence	Auditors Notes
Does the authority undertake any activity to promote food/feeding stuffs safety/standards relating to imports?	Yes/No	Detail:	The auditor should ascertain any allocated funding and examine copies of minutes of relevant meetings with external organisations, feedback/evaluation forms and other evidence of promotional activities.

Documentation: any relevant examples, evidence and good practice.

Statistics: promotion budget.