

# Regulatory Audit

## Regulatory Audit

Part of our job is to evaluate the effectiveness of the official controls system in England, Wales and NI. To do this we plan and carry out audit programmes in each country.

The official controls audited cover a diverse range of activities from primary production on farms, eggs, dairy, slaughterhouses, cutting plants, animal feed, shellfish and fishery products, through to the retail sector such as supermarkets, butchers, restaurants.

The official controls system is operated by food and feed enforcement officers from competent authorities including, local authority, port health authority, the FSA itself, either directly or through contracts or service level agreements with other organisations such as the Department of Agriculture, Environment and Rural Affairs (DAERA) in Northern Ireland.

## Shared Focused Audits

Focused audits look at specific aspects of local authority enforcement work.

[Local Authority Recovery Plan Assurance Assessment: Summary Report \(England, Wales and Northern Ireland\) February 2023](#)

## Regulatory Audit Charter

Food Standards Agency (FSA) audits of competent authorities (CAs) provide assurance that the delivery of official controls for feed and food is compliant with UK legal requirements and official guidance.

Competent Authorities (CAs) include Food Standards Agency (FSA), Local Authorities, and the Department of Agriculture, Environment and Rural Affairs.

The power to set standards and monitor CAs' food law enforcement services was conferred on the FSA by the Food Standards Act 1999 and the Official Feed and Food Controls (England) Regulations 2009 (and parallel legislations The Official Feed and Food Controls (Wales) Regulations 2009 and The Official Feed and Food Controls (Northern Ireland) Regulations 2009).

Our audits are designed to verify the effective implementation of planned arrangements and to assess whether the planned arrangements are suitable to achieve the objectives of the relevant legal requirements and guidance. Our [Regulatory Audit Manuals](#) provide details on how we conduct these audits.

The aims of the FSA Regulatory audit function are to:

- Help to protect public health by promoting effective enforcement of food law
- Maintain and improve consumer confidence in the system of official controls
- Assist in the identification and dissemination of good practice to aid consistency
- Provide information to aid the formulation of FSA policy
- Promote conformance to central guidance or Codes of Practice

- Provide a means to identify underperformance in CA food law service delivery
- Promote inter-authority auditing and peer review
- Identify continuous improvement

Principles:

1. All audit programmes must be selected based on a documented risk- based planning process.
2. Every audit programme must include clear objectives.
3. Every audit programme plan must ensure the audit team is resourced with the appropriate/specific technical competency to achieve the objectives of the audit programme.
4. The audit team will apply continuous improvement principles, to all areas of the audit system.
5. The audit team will be proactive in providing clarity to CAs (auditees) including, communication before, feedback during and feedback after all audit engagements.
6. Each auditee will be provided with clear audit findings in a written report of the audit engagement.
7. Auditees will, through recommendations made in the audit report, have a clear understanding of what improvements are required and agreed dates for their implementation through the action plan detailed in their audit report.
8. The auditee will be given the opportunity to provide written feedback after an audit which will be recorded and independently reviewed.

## Local Authority Audit in England

Auditing Local Authority Official Feed and Food Control Delivery in England.

### Focused audits

#### England

PDF

[View Focused Audit of Local Authority Food Service Planning and Prioritisation of Service Activities in England - August 2024 as PDF\(Open in a new window\)](#) (392.24 KB)

#### England

PDF

[View Local Authority Approved Establishment Audit Summary Report \(England\) - July 2024 as PDF\(Open in a new window\)](#) (485.86 KB)

[Local Authority Recovery Plan Assurance Assessment \(tranche 2\): summary report \(England\)](#)

You can find English local authority audits from 2010 to 2017 at the [National Archives website](#).

## Local Authority Audit in Wales

Auditing local authority official feed and food control delivery in Wales.

# Audit manual

The Food Standards Agency (FSA) in Wales audits local authorities (LAs) to provide assurance that the delivery of official controls for feed and food are compliant with legal requirements and official guidance. The audit manual, along with the FSA's Regulatory Audit Charter, documents the principles and processes we will follow to plan, carry out, report and follow up on the delivery system for feed and food official controls in Wales.

## Wales

PDF

[View Audit Manual - Auditing Local Authority Official Feed and Food Control Delivery in Wales as PDF\(Open in a new window\)](#) (436.43 KB)

## Focused audits

Focused audits look at specific aspects of local authority enforcement work.

[Focused audit of Local Authority Out of Hours Emergency Response in Wales](#)

## Wales

PDF

[View Focused Audit of Local Authority Regional Delivery of Feed Law Enforcement Services in Wales - March 2022 as PDF\(Open in a new window\)](#) (892.33 KB)

## Wales

PDF

[View Focused Audit of Local Authority Implementation of the Statutory Food Hygiene Rating Scheme in Wales as PDF\(Open in a new window\)](#) (1.08 MB)

## Audit reports and action plans

A list of open local authority audit reports and action plans for authorities in Wales since 2014.

### 2024

## Wales

PDF

[View Isle of Anglesey County Council updated action plan as PDF\(Open in a new window\)](#) (179.28 KB)

## Wales

PDF

[View Gwynedd County Council updated action plan as PDF\(Open in a new window\)](#) (166.8 KB)

## **Wales**

PDF

[View Conwy County Council updated action plan as PDF\(Open in a new window\)](#) (166.24 KB)

## **Wales**

PDF

[View Carmarthenshire County Council updated action plan as PDF\(Open in a new window\)](#)  
(164.06 KB)

## **Wales**

PDF

[View Flintshire County Council updated action plan as PDF\(Open in a new window\)](#) (187.13 KB)

## **Wales**

PDF

[View Pembrokeshire County Council updated action plan as PDF\(Open in a new window\)](#) (159.91 KB)

## **2023**

## **Wales**

PDF

[View Merthyr Tydfil County Borough Council updated action plan as PDF\(Open in a new window\)](#)  
(134.65 KB)

## **Wales**

PDF

[View Blaenau Gwent County Borough Council updated action plan as PDF\(Open in a new window\)](#) (158.43 KB)

## **Wales**

PDF

[View Caerphilly County Borough Council updated action plan as PDF\(Open in a new window\)](#)  
(139.15 KB)

## **Wales**

PDF

[View Powys County Council updated action plan as PDF\(Open in a new window\)](#) (142.37 KB)

## **Wales**

PDF

[View City and County of Swansea Council updated action plan as PDF\(Open in a new window\)](#)  
(151.83 KB)

## **2017**

### **Wales**

PDF

[View Wrexham County Borough Council audit report as PDF\(Open in a new window\)](#) (804.66 KB)

### **Wales**

PDF

[View Wrexham County Borough Council updated action plan as PDF\(Open in a new window\)](#)  
(484.68 KB)

### **Wales**

PDF

[View Shared Regulatory Services \(Cardiff, Bridgend and Vale of Glamorgan\) audit report as PDF\(Open in a new window\)](#) (712.58 KB)

### **Wales**

PDF

[View Shared Regulatory Services \(Cardiff, Bridgend and Vale of Glamorgan\) updated action plan as PDF\(Open in a new window\)](#) (201.7 KB)

## **2016**

### **Wales**

PDF

[View Merthyr Tydfil County Borough Council audit report as PDF\(Open in a new window\)](#) (448.44 KB)

### **Wales**

PDF

[View Carmarthenshire County Council audit report as PDF\(Open in a new window\)](#) (793.95 KB)

### **Wales**

PDF

[View Caerphilly County Borough Council audit report as PDF\(Open in a new window\)](#) (687.73 KB)

### **Wales**

PDF

[View Gwynedd Council audit report as PDF\(Open in a new window\)](#) (611.37 KB)

## **Wales**

PDF

[View Rhondda Cynon Taf County Borough audit report as PDF\(Open in a new window\)](#) (647.45 KB)

## **Wales**

PDF

[View Pembrokeshire County Council audit report as PDF\(Open in a new window\)](#) (902.75 KB)

## **2015**

## **Wales**

PDF

[View Ceredigion County Council audit report as PDF\(Open in a new window\)](#) (620.4 KB)

## **Wales**

PDF

[View Ceredigion County Council updated action plan as PDF\(Open in a new window\)](#) (421.34 KB)

## **Wales**

PDF

[View Conwy County Borough Council audit report as PDF\(Open in a new window\)](#) (672.84 KB)

## **Wales**

PDF

[View Torfaen County Borough Council audit report as PDF\(Open in a new window\)](#) (701.68 KB)

## **Wales**

PDF

[View Torfaen County Borough Council updated action plan as PDF\(Open in a new window\)](#) (222.75 KB)

## **2014**

## **Wales**

PDF

[View Blaenau Gwent County Borough Council audit report as PDF\(Open in a new window\)](#) (595.58 KB)

## **Wales**

PDF

[View City and County of Swansea audit report as PDF\(Open in a new window\)](#) (785.46 KB)

## **Wales**

PDF

[View Isle of Anglesey County Council audit report as PDF\(Open in a new window\)](#) (736.2 KB)

## **Wales**

PDF

[View Neath Port Talbot County Borough Council audit report as PDF\(Open in a new window\)](#) (408.62 KB)

## **Wales**

PDF

[View Neath Port Talbot County Borough Council updated action plan as PDF\(Open in a new window\)](#) (424.66 KB)

## **Wales**

PDF

[View Newport City Council Audit Report as PDF\(Open in a new window\)](#) (693.38 KB)

## **Wales**

PDF

[View Newport City Council updated action plan as PDF\(Open in a new window\)](#) (406.5 KB)

## **2013**

## **Wales**

PDF

[View Denbighshire County Council audit report as PDF\(Open in a new window\)](#) (565.53 KB)

## **Wales**

PDF

[View Denbighshire County Council updated action plan as PDF\(Open in a new window\)](#) (315.37 KB)

## **Wales**

PDF

[View Flintshire County Council audit report as PDF\(Open in a new window\)](#) (630.23 KB)

## **Wales**

PDF

[View Monmouthshire County Council audit report as PDF\(Open in a new window\)](#) (504.39 KB)

## **Wales**

PDF

[View Monmouthshire County Council updated action plan as PDF\(Open in a new window\)](#)  
(143.14 KB)

## **Wales**

PDF

[View Powys County Council audit report as PDF\(Open in a new window\)](#) (700.63 KB)

You can access all Welsh local authority audits, including those which are now closed, at the [National Archives website](#).

# **Borough and District Council Audit in Northern Ireland**

Auditing Borough and District Councils Official Feed and Food Control Delivery in Northern Ireland.

## **Audit manual**

### **Northern Ireland**

PDF

[View Regulatory Audit Manual-Auditing Official Control Delivery Systems in Northern Ireland as PDF\(Open in a new window\)](#) (465.78 KB)

You can find Northern Ireland audits from 2011 to 2015 at the [National Archives website](#).

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