

CORE (2) AUDIT

******* COUNCIL**

Date of Audit :

FOOD LAW ENFORCEMENT AUDIT CHECKLISTS

[Revised April 2015]

NOTE: These checklists should be used for full audits of local authorities' food law enforcement services.

Checklist	Title	Page
A	Documents, Procedures and Document Control	3
B	Authorisation and Training Files	6
C	Facilities and Equipment inc Calibration	10
D	Inspection and Premises Files	12
E	Food Hygiene Information Scheme	17
F	Alternative Enforcement Strategies	20
G	Complaints	23
H	Database and Monitoring Returns	27
I	Sampling	31
J	Food Related Infectious Disease Notifications	33
K	Food Alerts, Incidents and RASFF	35
L	Notices (HIN, HEPN/O, RAN & Reg 27)	37
M	Voluntary Closure of Premises	45
N	Prosecutions	47
O	Seizure, Detention & Voluntary Surrender of Food	50
P	Inspection Reports and Letters	54

Checklist A – Documents, Procedures and Document Control**The Standard Section 4 - Review and Updating of Documented Policies and Procedures**

[This list will be reviewed prior to audit to ensure that all relevant and up to date guidance is included]

Legislation/publications/ information	Correct version available	Comments – e.g. on superseded documents.
FSA 1990 and relevant legislation		
The Framework Agreement on Official Feed and Food Controls by Local Authorities (April 2010)		
Food Law Code of Practice (20 March 2009)		
Food Law Practice Guidance (Feb 2012)		
Food Hygiene (Scotland) Regulations 2006		
The Official Feed and Food Controls (Scotland) Regulations 2009		
Lacors guidance, eg Chief Officer circulars, and published docs.		
Lacors Food Complaints 2nd edition		
Other guidance		
852/2004 Hygiene of foodstuffs		
853/2004 Hygiene Rules for food of animal origin		
854/2004 Official controls on POAO intended for human consumption		
882/2004 Official controls performed to ensure the verification of compliance with feed and food law		
2073/2005 Microbiological criteria for foodstuffs		
178/2002 General principles and requirements of food law		
Crown Office and Procurator Fiscal Service Prosecution Code		

Legislation/publications/ information	Correct version available	Comments – e.g. on superseded documents.
Local policies and procedures, eg:		
Enforcement policy Sampling Policy Complaints Policy		
Inspection procedures		
Food/Feeding stuffs complaints procedures.		

NOTES

Checklist B – Authorisation & Training Files
The Standard Section 5 – Authorised Officers

Frequency of Checks: As a minimum, the training records of the officers for the Verification checks should be reviewed. Ideally, there should be one check per grade of officer, per specialism. Records for the nominated audit liaison officer should be checked, and auditors should concentrate on newly qualified officers, officers that have recently transferred from other disciplines, agency/temporary staff, “out of hours” officers, and technical officers. Officers should be asked to provide their authorisation documents. Blanks have been left for training identified by the Authority.

	1	2	3	4	5
Name/designation of officer <i>[Auditors should double check that they are aware of ALL staff involved in or authorised for food/feed enforcement and ensure that all officers, or a representative sample of officers from all levels within the Service are audited i.e. managers; professional officers; technical officers; temporary/contractor staff and out of hours cover].</i>					
Evidence of qualifications? <i>[NB: Ensure that original certificates have been checked]</i> [Std – 5.3 & CP – 1.2.2, 1.2.5 & 1.2.6 NB 1.2.6 relates to contract staff]					
Specific competencies in HACCP principles and/or auditing of HACCP based food safety management systems, including auditing skills*. [CP – 1.2.9.1.1 & Annex 2**]					
Update training? (10 hours) [CP – 1.2.4 and Standard 5.4]					
Recent returner training? (15 hours) (if applicable) [CP – 1.2.4]					
New appointments/transfers appropriately qualified? [CP –1.2.3 & 1.2.4]					

	1	2	3	4	5
Nature, type and technology used in businesses in area [CP 1.2.8, 1.2.9.1.1 & 1.2.9.1.2]					
Inspection of Specialist or Complex Processes [CP – 1.2.9.1.2)					
Inspection of Premises for Approval under Regulation (EC) 853/2004 [CP – 1.2.9.1.3]					
Training in HACCP (Food Hygiene) [CP – 1.2.9.1.1 & Annex 2]					
Imported food training [Std – 5.4]					
FHIS training EXTERNAL					
FHIS training INTERNAL					
Formal enforcement training? E.g.					
<ul style="list-style-type: none"> • RIP(S)A Training [Std – 5.4] 					
<ul style="list-style-type: none"> • Presenting evidence 					
<ul style="list-style-type: none"> • RASFF 					
Training needs identified and programmed? Preferably to include content, objectives, duration and assessment.					
Qualification and training records complete and sufficiently detailed? [Std – 5.5]					

Level of officer authorisation: [Std – 5.3]	<i>For food safety matters this should include authorisation under the Food Safety Act 1990 and under hygiene and processing regulations issued under it, whether generally or specifically (Section 5(6) Food Safety Act 1990).</i>				
	<i>Officers should also be authorised to enforce relevant regulations issued under the European Communities Act 1972. The European Communities Act does not however contain any enforcement powers and its primary function is to provide a mechanism by which regulations can be enacted. Powers of enforcement for Regulations made under the Act are usually contained in the Regulations themselves, therefore the Agency's view is that all regulations relevant to imported food and feed control under the EC Act 1972 should specifically be referred to in authorisation documents, including officers' credentials.(FLCoP 1 2 2_</i>				
	1	2	3	4	5
General food/premises inspection and enforcement? (Food Safety Act 1990 and subordinate regulations) (CP 1.2.2)					
<ul style="list-style-type: none"> • Food Hygiene (Scotland) Regs 2006 					
<ul style="list-style-type: none"> • OFFC (Scotland) Regs 2009 					
<ul style="list-style-type: none"> • Transmissible Spongiform Encephalopathies (Scotland) Regulations 2010 					
Specific authorisation under Food Hygiene (Scotland) Regulations 2006: <ul style="list-style-type: none"> • Reg 6 Hygiene Improvement Notices • Reg 8 Hygiene Emergency Prohibition Notices • Reg 9 Remedial Action Notices and Detention Notices • Reg 12 Sampling • Reg 14 Powers of Entry • Reg 27 Certify failing to meet food safety requirements 					

	1	2	3	4	5
• European Communities Act 1972					
• Other Regulations made under the European Communities Act 1972 eg OFFC					
Do Qualifications, training & experience match authorisation and powers exercised in practice? [Std – 5.3 & 5.4]					

Checklist C - Facilities and Equipment inc Calibration**The Standard Section 6 - Facilities and Equipment***(NB These checks relate to food law enforcement and not any relevant personal safety equipment)*

EQUIPMENT:	√ or numbers of.	Calibration Recorded e.g. certificate/in-house checks S - Satisfactory U - Unsatisfactory	Comments/notes
GENERAL			
White coats [CP – 4.2.6]			
White hats [CP – 4.2.6]			
ATP meter			
ATP swabs			
Thermometer			
Probes			
Probe wipes			
Lockable or secure temperature monitored fridge (< 5°C)			
Lockable or secure freezer (< -18° C)			
Insulated boxes (Recommended BS 6672 part 2 **** rating)			
Adequate supply of hard frozen ice blocks			
Food grade sampling bags			
Sample Labels			
Gloves			
Seals / cable ties			
Digital Camera			
Mobile phone			
Hair nets			
Blue plasters			
Faecal specimen kits			

NOTES

File identifier	1	2	3	4	5
Date previous inspection [Std – 7.1]					
Risk ratings categories [Std – 7.1]					
Risk rating level					
Report sent/left on site [Std - 7.4 & CP – 4.4.6.5 & Annex 6]					
Date of 2 nd last inspection [Std – 7.1]					
Risk rating categories [Std – 7.1]					
Risk rating level					
Report sent/left on site [Std - 7.4 & CP – 4.4.6.5 & Annex 6]					
File identifier	1	2	3	4	5
Correctly risk assessed [Std – 7.1 & A5.3]					
Any evidence that monitoring of risk ratings being carried out. [CP 7.1.2]					
Inspected by officer with correct authorisation. [Std – 5.3 & CP – 1.2.9.1 & CP – 1.2.9.2]					
Liaison with Home/Originating /Primary Authority. as appropriate [CP – 3.1.5]					
Follow-up letters sent in accordance with LA policy and centrally issued guidance [Std – 7.4 & CP – 4.5.2]					

Appropriate LGR/FSA aide memoire or equivalent in use [CP – 4.1.2]					
Detailed records of inspection maintained [Std – 16.1 & CP – 4.5.3]					
Inspection details on computer database or file are up to date, accurate & consistent. [Std – 16.1 & CP – 4.5.3]					
FOOD HYGIENE					
Records - Size and scale of business [CP – 4.5.3]					
Records - Type of food activity [CP – 4.5.3]					
Copies of correspondence with the business [CP – 4.5.3]					
Copies of food sample examination results [CP – 4.5.3]					
File identifier	1	2	3	4	5
Evidence that any assessment of FBO compliance included (where appropriate) the following:					
<ul style="list-style-type: none"> • Identification (by FBO) of potential hazards that must be prevented reduced or eliminated 					
<ul style="list-style-type: none"> • Identification of CCPs at appropriate steps 					
<ul style="list-style-type: none"> • Determining that FBO has established critical limits 					
<ul style="list-style-type: none"> • Establishing that corrective actions are implemented as necessary 					

<ul style="list-style-type: none"> Checks that there are HACCP documents and records commensurate with the nature and size of the business. 					
Have previously identified issues /contraventions, predominantly those relating to the Food Safety Management System, been addressed and appropriate and proportionate action taken in case of recurring issues/contraventions? (CP 3.1.3)					
File identifier	1	2	3	4	5
Information on hygiene training [CP – 4.5.3]					
Details of food suppliers and other businesses to which food is supplied. EU General Food Regs. 2004 & Article 18 of 178/2002					
*Evidence of internal monitoring on files? [Std – 19.2 & CP – 7.1]					

*[*Details of internal monitoring may be maintained separately from inspection files/records].*

NOTES

Checklist E – FHIS

The Standard Section 5 - Authorised Officers

The Standard Section 7 - Food Premises Interventions & Inspection

The Standard Section 10 - Advice to Business

The Standard Section 11 - Food Premises Database

The Standard Section 16 - Records and Inspection Reports.

Frequency of checks: A maximum of 5 premises files should be examined for compliance with the FHIS.

	1	2	3	4	5
File Name/identifier					
Does the rating apply to this FBO					
Last food premises registration form date					
Are premises eligible for FHIS rating?					
Has the FBO applied for "Awaiting Inspection"					
Date of last inspection					
FHIS rating (P, AI, IR)*					
Date of issue of Certificate					

	1	2	3	4	5
When was the data for this rating uploaded to FSA website					
Did an appropriately qualified officer carry out the risk rating? (Initials & title)					
Premises appropriately COP risk rated?					
Hygiene / Structure / CIM scores					
COP Risk category (score or letter)					
Is this at or above Broadly Compliant levels (10 10 10)					
Were the SFELC trigger values considered by LA					
Any "Minor non-compliances" at rating inspection					
Any "Recurring non-compliance" at rating inspection					
Was there any monitoring of the scoring or rating					
Was there an appeal (review of decision) against IR					
Was the IR criteria within legal limits					
Who carried out the review					
Date LA notified by FBO of compliance after IR					
Date(s) LA re-visited to reassess compliance					
When was the data for this rating uploaded to FSA website					

File identifier	1	2	3	4	5
Report sent/left on site [CP – 4.4.6.5 & Annex 6]					
Did an appropriately qualified officer carry out the risk rating? (Initials & title)					
Premises appropriately risk rated?					
When is the next AES planned to take place for the premises?					
Premises subject to AES at the minimum frequency required? [CP – Annex 5.2.3 & 5.3.4]					
Have any incidents occurred which should have triggered a visit to the premises since the AES was introduced? [CP – 4.1.11]					
Visit carried out where appropriate?					
Method of alternative enforcement used at the premises in accordance with the AES operated by the LA?					

File identifier	1	2	3	4	5
If the AES involved a visit and the officer was not appropriately authorised/qualified, was the visit limited to information gathering and reporting back? [CP – 1.2.10]					
Evidence that a qualified officer reviewed the AES carried out at the premises? [CP – 1.2.10]					
Any follow-up action required?					
Any necessary follow-up action carried out or programmed?					
Sufficient records of the way in which the AES was carried out at the premises?					
*Evidence that the AES is being monitored?					

*[*Details of internal monitoring may be maintained separately from inspection files/records].*

File reference	1	2	3
Confirm results of investigation with complainant. [Std – 8.3]			
Confirm results of investigation with HA/OA. [Std – 8.2]			
Complies with timing set out in Authority procedures? (Std 8.1)			
Complaint details on premises file [Std – 16.1]			
FSA contacted as appropriate. [CP – 1.7.6 & 2.5.1]			
*Any evidence of internal monitoring on files? [Std -19.2]			

<p><u>FOOD HYGIENE COMPLAINTS</u></p> <p>Complaint reference</p>	<p>1</p>	<p>2</p>	<p>3</p>
<p>Complete information on complainant/food/premises [LACORS guidance]</p>			
<p>Contact with supplier/manufacturer and/or importer as appropriate. [LACORS guidance]</p>			
<p>Contact with Home/Originating authorities as appropriate. [CP – 2.4.1 & 1.6.7]</p>			
<p>Appropriate investigation carried out.</p>			
<p>Appropriate action taken on findings</p>			
<p>Confirm results of investigation with supp/man/importer. [Std – 8.3]</p>			
<p>Confirm results of investigation with complainant. [Std – 8.3]</p>			
<p>Confirm results of investigation with HA/OA. [Std – 8.2]</p>			

File Reference	1	2	3
Complies with timing set out in Authority procedures?			
Complaint details on premises file [Std – 16.1]			
FSA contacted as appropriate. [CP – 1.7.6 & 2.5]			
*Any evidence of internal monitoring on files? [Std -19.2]			

Checklist H - Database and Monitoring Returns

The Standard Section 7 - Food and Feeding Stuffs Premises Inspection

The Standard Section 11 - Food Premises Database

Frequency of checks: A minimum of 3 checks from the internet, or an up to date yellow pages or from observation of the area and other sources. Premises should include - Food manufacturers/caterers/retailers/butchers/bakers/importers and ERTS. Different parts of the Authority's area should be included.

	1	2	3	4	5
Name of premises					
FOOD HYGIENE Record on computer system [Std – 11.1]					
Premises included within the food hygiene inspection programme					

NOTES

Checks on Monitoring Returns:**1. Pre-audit checks**

- All monitoring returns for the preceding 2 years should be checked for any anomalies and inconsistencies (eg high numbers of inspections but very low figures for informal written warnings).
- Lists of actions carried out are requested from LAs as part of their PVQ submission (eg inspections; complaint investigations and enforcement actions) and should be cross-referenced with the monitoring returns for inconsistencies (eg the number of EPNs provided for audit purposes not reflected in the monitoring returns).
- Comparison of data on premises profiles in LAs Service Plan and monitoring returns.
- Highlight and investigate anomalies between premises profiles for food hygiene and food standards purposes within unitary LAs

2. On-site audit checks

- Hardcopy records for all activities examined during the audit should be cross-referenced with database entries to ensure that they are correctly coded and entered (eg on inspection files audited, checks made to ensure that inspections are recorded as such on the database, revisits are correctly coded, sampling visits are not marked as inspections etc.).
- Comparison of sampling monitoring returns with records on site.
- Relevant LA officers and administrators responsible for the database should be interviewed to establish the data inputting controls, to audit the process for compiling monitoring returns and to further examine any concerns identified.
- *A range of management reports should be run from the LA's database to identify any anomalies* (lists of premises without risk ratings and food premises that do not form part of the Authority's inspection programme will also have been provided with the PVQ information):

Reports for On-Site Audit Checks of Databases:

REPORT	PURPOSE	SUMMARY OF FINDINGS
FOOD		
'No inspectable risk' (NIR) premises list	All premises with 'no inspectable risk' ratings (usually for food standards) to check that all relevant premises are included in the inspection programme. Can be used to identify incorrectly risked premises and useful in determining compliance with an inspection programme.	
List of Manufacturers and 'manufacturers selling mainly by retail' (as defined by the FSA return)	This list may highlight wrongly classified premises. The result may be incorrect FSA returns. If risk category, last inspection date and next inspection date is included then problems in missing fields/ no risk assessment/ incorrect risk assessment may be determined. This would indicate an inaccurate database and/or problems with risk assessment. This list can also be cross-checked to approvals list as all approved premises are normally manufacturers.	
All A or high risk rated premises with last and next inspection date.	Incorrectly rated premises may be identified; differences from monitoring returns; overdue inspections; premises missing from the inspection programme and any with no food activity.	
Those premises with a food inspection code and no risk assessment rating.	Usually these would be premises that have recently opened but not yet inspected.	

<p>All premises coded as having received AES with premises type, risk rating and the date subject to AES.</p>	<p>This can in be usefully cross checked against a report showing all risk category E (0 to 30) for food hygiene This will help establish if AES at low risk premises are being undertaken at the correct frequency.</p>	
<p>Overdue inspections with premises type and dates of last or next inspections.</p>	<p>List of overdue inspections by risk category enables comparison with monitoring returns and figures on PI performance in Service Plan.</p>	
<p>Identify categories of premises e.g. delicatessens</p>	<p>This report will show whether the Authority can easily identify categories of premises that may require action in response to food alerts</p>	
<p>Identify categories of premises e.g. delicatessens</p>	<p>This report will show whether the Authority can easily identify categories of premises that may require action in response to food alerts</p>	

FOOD INSPECTION

Checklist I - Sampling

The Standard Section 5 – Authorised Officers

The Standard Section 12 – Food inspection and sampling

Frequency of Checks: A minimum of 3 checks should be made.

	1	2	3	4
Sample number/premises reference:				
General				
Sampling policy prepared and published. [Std – 12.4 & CP – 6.1.2]				
Sampling programme prepared (Std 12.4 & CPO 6.1.2)				
Taken by trained authorised officer [CP – 1.2.7]				
Results on file [Std – 16.1]				
Appropriate action taken [Std – 12.5]				

Formal Sample for Analysis	1	2	3	4
Owner of food notified as soon as practicable (CP 6.1.7)				
Notification in writing to Manufacturer/packer and/or importer [CP – 6.1.7 & 6.1.9]				
Business informed of (unsatisfactory) result. [CP – 6.1.9 (analysis) & 6.1.13 (examination)]				
Manufacturer informed at earliest opportunity (CP 6.1.9 (analysis) & CP 6.1.13 (examination))				
Liaison with home/originating authority as appropriate. [CP – 6.1.9]				
Third part stored in correct environment [PG – 6.1.7.3]				
*Evidence of internal monitoring on files? [Std-19.2]				
Certificate of Analysis				
As format in Schedule 3 of Food Safety (Sampling and Qualifications) Regulations 2013				

Checklist J – Food Related Infectious Disease Notifications

Section 13 – Control and Investigation of Outbreaks and Food Related Infectious Disease.

Auditors should check a minimum of 2 investigations of food related disease.

	1	2	3
File Reference			
Notification date			
Source of information			
Type of infection			
Food handler?			
Any other linked persons			
Follow-up inspection of any linked food premises.			
As appropriate: - Food/environmental sampling.			
- Stool specimens taken? - (date, result, actions) -			
- Checks/exclusions of food handlers/high risk groups			
- Contact with/referral to other LAs			
Adequate and appropriate records			

Appropriate investigation carried out			
Evidence of internal monitoring on files? [Std-19.2]			

NOTES

Checklist L – Hygiene Improvement Notices

The Standard Section 5 – Authorised Officers The Standard Section 7 – Food Premises Inspection
 The Standard Section 15 – Enforcement

Frequency of checks: A minimum of 3 hygiene improvement notices served by different officers, take a copy of the notices.

	1	2	3	4	5
Name of Premises / Notice Identifier <i>[Use a separate column where more than 1 notice has been served on the same premises].</i>					
HYGIENE IMPROVEMENT NOTICES					
Reason for notice					
Signed by correctly authorised officer [CP – 1.2.9.1.5]					
Signed by officer witnessing contravention [CP – 1.2.9.1.5]					
Was notice appropriate course of action? ie breach of regulations [CP – 3.2.2]					
Served on food business operator.					

	1	2	3	4	5
Food business operators full name on notice					
Details of regulation contravened (CP – 3.1.6 & 3.2.1)					
Reason for contravention: • Reason specified [CP 3.2.1 & PG – 3.2.4]					
• Wording of notice clear & easily understood [PG – 3.2.4]					
• Wording reflects centrally issued guidance					
Works required: • Measures to be taken specified [CP 3.2.1 & PG – 3.2.4]					
• Wording of works required clear & and easily understood [PG – 3.2.4]					
• Wording reflects centrally issued guidance					
Appropriate time limits (14 days min.) [PG – 3.2.5]					
Liaison with Home Authority where appropriate [PG – 3.2.10]					

	1	2	3	4	5
Indication of works of equivalent effect [PG – 3.2.7]					
Rights of appeal on Notice [PG – 3.2.9]					
Name and address of relevant Sheriff Court provided (PG 3.2.9)					
Evidence of proper service by hand/post [PG – 3.2.3]					
Timely check on compliance [PG – 3.2.8]					
Appropriate follow-up action taken if needed [Std – 7.4]					
Written application for extension received in time [CP 3.2.6]					
LA grant time extension as reasonable? [PG – 3.2.6]					
Original notice withdrawn and new notice issued with revised compliance date [PG – 3.2.6)					
Timely check on completion of works (CP 3.2.8)					
Letter confirming works are satisfactory [PG – 3.2.8]					
*Any evidence on file of internal monitoring? [CP 7.1 & Std – 19.2]					

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

FILE IDENTIFIER & REASON FOR NOTICE	COMMENTS
1.	
2.	
3.	
4.	
5.	

NOTES

Checklist L – Hygiene Emergency Prohibition Notices & orders and Remedial Action Notices and Regulation 27 notices

The Standard Section 5 – Authorised Officers

The Standard Section 7- Food Premises Inspection

Frequency of Checks: A maximum of 3 of each

	1	2	3	4	5	6
Name of premises/Notice Identifier						
FILE IDENTIFIER	REASON FOR CLOSURE					
1.						
2.						
3.						
4.						
5.						
6.						

	1	2	3	4	5	6
HYGIENE EMERGENCY PROHIBITION NOTICE (HEPN) & HYGIENE EMERGENCY PROHIBITION ORDER (HEPO)						
Was the HEPN appropriate ie health risk condition fulfilled? [CP 3.3.2]						
HEPN signed by correctly authorised officer [CP – 1.2.9.1.7]						
Premises / equipment / process meets criteria set out in enforcement policy and CP [Std – 15.1 & CP – 3.3.2]						
HEPO application notified to proprietor at least one complete day before application [PG – 3.3.2.2]						
Address of local Sheriff Court provided? [PG – 3.2.9] Only for HIN						
Monitoring visits made? [PG – 3.3.14]						
Last visit less than one day before hearing [PG – 3.3.14]						
HEPN upheld by Court?						

	1	2	3	4	5	6
HEPN complied with BEFORE hearing?						
Did the LA continue with application and did the court verify the notice.?						
Notice served by Court or LA?						
LA has responded within 14 days to written request from FBO to lift the notice or order [PG – 3.3.18]						
Certificate issued lifting HEPO asap/within 3 days of determination that health risk removed [PG – 3.3.18]						
Appeal rights notified to food business operator if lifting of HEPO refused? [PG – 3.3.20]						
Notification of continuing risk to health served asap where appropriate? [PG – 3.3.18]						
Premises subject to inspection [CP – 4.2.5 & 4.1.3]						
Appropriate follow-up action taken on breach of a HPO/PO or Notice/Order. [PG – 3.3.19]						
Enforcement action in accordance with LA’s Enforcement Policy [Std – 15.3]						
*Any evidence on files of internal monitoring? [CP 7.1 & Std – 19.2]						

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

REMEDIAL ACTION NOTICE	1	2	3
Was the notice format as standard forms in CP A.7.7?			
Served by authorised officer (CP 1.2.9.1.8) ¹			
Served on FBO or duly authorised representative without delay(A.7.7)			
<i>If served in relation to breach of Regs, does the notice:</i>			
State the nature of the breach			
Specify the action required to remedy the breach			
Information regarding right of appeal			
Was the notice lifted in writing? (CP 3.5.3)			
*Any evidence on files of internal monitoring? [Std-19.2]			

REGULATION 27 CERTIFICATION	1	2	3
Standard form used ? (CP 3.4.2 & Annex 7)			
Action appropriate?			
Food subsequently seized?			
*Any evidence on files of internal monitoring? [Std-19.2]			

¹ EHO, 2 yrs post qualification experience in food safety, currently working in food enforcement and properly trained, competent and duly authorised.
April 2015

Checklist M – Voluntary closure

The Standard Section 5 – Authorised Officers

The Standard Section 7- Food Premises Interventions & Inspections

Voluntary Closure	1	2	3
Reason for closure (provide detail below)			
Appropriate? Y/N (CP 3.3.2.1 & PG 3.3.3.2)			
Was it confirmed in writing by and with the food business operator [CP – 3.3.2.4]			
Premises visited to check on closure. [CP – 3.3.2.4]			
Appropriate follow-up action taken on breach of a voluntary closure agreement. (CP 3.3.2.4)			
*Any evidence on files of internal monitoring? [Std-19.2]			

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

Checklist N Prosecutions

The Standard Section 5 – Authorised Officers

The Standard Section 7 – Food and Feeding Stuffs Premises Interventions and Inspections

The Standard Section 15 – Enforcement

Frequency of checks: A minimum of 1

	1	2	3
Name of Premises/Premises Identifier Electronic submission number			
Reason for prosecution (detail below)			
Prosecution takes account of PF Prosecution Code			
Was the prosecution appropriate? [CP – 3.1.10]			
Authorised by officer with appropriate delegated powers? [Std – 5.3]			
Evidence that enforcement policy has been considered? [Std – 15.3]			

	1	2	3
Has action been taken in line with Enforcement Policy? [Std – 15.3]			
If no – Is the reason for the departure documented? [Std – 15.3]			
Prosecution taken without unnecessary delay [CP – 3.1.10] Date of original offence Date of Approval to report to PF Date of submission of Precognition			
If NOT is the reason for any departure documented [Std 15.3]			
If appropriate, prosecution takes account of RIP(S)A			
Reporting Officer specified			
Witnessing Officer specified			
PF Report prepared in accordance with LA procedures			
Action taken under correct legislation?			
*Any evidence on files of internal monitoring. [Std–19.2]			

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

FILE IDENTIFIER	REASON FOR PROSECUTION
1.	
2.	
3.	

Checklist O – Seizure, Detentions, and Voluntary Surrender (VS) of Food**The Standard Section 5 – Authorised Officers****The Standard Section 7 – Food and Feeding Stuffs Premises Interventions & Inspections****The Standard Section 12 – Food Inspection and Sampling**

Frequency of checks: A minimum of 3 files should be inspected

SEIZURE	1	2	3	4
Name of Premises/premises Identifier				
Written confirmation issued immediately after seizure [CP – 3.4.5]				
Chain of evidence from detention to seizure [CP – 3.4.4]				
Person in charge given notification in writing of intention to have food dealt with [CP – 3.4.5]				
Owner notified of hearing [CP – 3.4.5]				
Food brought before Sheriff within two days [CP – 3.4.4]				
Record of destruction e.g. waste transfer note kept on file. [CP - 3.4.9]				
*Any evidence on file of internal monitoring? [CP 7.1 & Std-19.2]				

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

DETENTION	1	2	3	4
Inspection and decision to detain food taken by correctly Authorised Officer [CP – 1.2.9.1.8]				
Food detention notice signed by officer who takes the decision. [CP – 3.4.5]				
Detention appropriate? Y/N				
Does notice clearly specify type and quantity of foods to be detained [CP – 3.4.5]				
Time limit within max 21 days [CP – 3.4.6]				
Arrangements made to ensure the security of the food were satisfactory [CP – 3.4.3]				
Removed to another Authority's area? (Y/N)				
If yes, arrangements made with LA to monitor [CP – 3.4.3]				

	1	2	3	4
Withdrawal notice served (Y/N) [CP – 3.4.6]				
Decision re withdrawal notice taken by correctly authorised officer [CP – 3.4.6]				
If no, has food been seized? [FSA s9]				
*Any evidence on file of internal monitoring? [Std-19.2]				

	1	2	3	4
VOLUNTARY SURRENDER				
Voluntary Surrender appropriate?				
Did receipts state “voluntarily surrendered to the Food Authority for destruction” [CP – 3.4.8]				
Receipt signed by the officer. [CP – 3.4.8]				
Counter-signed by person surrendering food [CP – 3.4.8]				
Receipt records time, place and method of destruction. [CP 3.4.8]				
Copy of waste transfer note kept on file. [CP - 3.4.9]				

	1	2	3	4
Food correctly disposed of [CP -3.4.9]				
*Any evidence on file of internal monitoring? [CP 7.1 & Std-19.2]				

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

NOTES

Checklist P - Inspection Reports and Letters
The Standard Section 7 - Food Premises Interventions & Inspections

Frequency of checks: A maximum of 5 inspection reports should be checked. Auditors should generally check the most recent inspection report from those premises files examined.

File Name/File Identifier	1	2	3	4	5
Food Hygiene Report of Inspection requirements [CP – 4.5 & Annex 6]					
Trading name and address of the business, and registered address if different					
Name of the food business operator					
Type of business					
Person seen/interviewed					

File Identifier	1	2	3	4	5
Date and time of inspection					
Specific food law under which inspection conducted					
Areas inspected					
Documents/other records examined					
Samples taken					
Key points discussed during the inspection including any statutory contravention identified. and recommendations.					
Actions to be taken by the food authority					
Signed by officer					
Officers name in capitals					
Designation of inspecting officer					
Contact details of inspecting officer					
Contact details of senior officer					
Date					
Food Authority name and address					
Report copied to relevant head office where appropriate [CP – 3.1.5]					

File Identifier	1	2	3	4	5
Clear distinction between legal requirements and recommendations [CP – 3.1.6]					
Indication of time scale for achieving compliance [CP – 3.1.6]					
All contraventions identified and the measures needed to secure compliance listed [CP – 3.1.6]					
*Evidence of internal monitoring on files? [Std –19.2 & CP – 7.1.2]					

*[*Details of internal monitoring may be maintained separately from inspection files/records].*

NOTES
