

FOCUSED AUDIT OF LA DELIVERY OF OFFICIAL CONTROLS ON MILK AND DAIRY PRODUCTS IN ENGLAND, WALES & SCOTLAND

***** **COUNCIL**

Date of Audit : *****

FOOD LAW ENFORCEMENT AUDIT CHECKLISTS

[October 2014]

[NOTE: These checklists should be used for focused audits of local authorities' food law enforcement services. They should be used in conjunction with the approved dairy establishment protocols and FBO reality check protocol. **They apply to approved dairy/dairy products establishments only.**]

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Checklist A – Training Files
Section 5 – Authorised Officers

Frequency of Checks: Wherever practical, training records of all officers involved in approval and inspection of approved dairy hygiene establishments should be checked. As a minimum, the training records of 3 officers should be checked, including those for the nominated lead officer(s). Officers should be asked to provide their authorisation documents.

	1	2	3	4	5	6	7
Name/designation of officer							
Evidence of qualifications? <i>[NB: Ensure that original certificates have been checked]</i> [Std – 5.3 & CP – 1.2.5 & 1.2.6 NB 1.2.6 relates to contract staff]							
Update training? (10 hours) [CP – 1.2.4]							

	1	2	3	4	5	6	7
Recent returner training? (15 hours] (if applicable) [CP – 1.2.4]							
New appointments/transfers appropriately qualified? [CP –1.2.3 & 1.2.4]							
Did specialist training include:							
<ul style="list-style-type: none"> • Inspection of Relevant Specialist or Complex Dairy Processes [CP – 1.2.9.1.2 							
<ul style="list-style-type: none"> • Inspection of Premises for Approval under Regulation (EC) 853/2004 [CP – 1.2.9.1.3] 							
<ul style="list-style-type: none"> • Training in HACCP (Food Hygiene) [CP – 1.2.9.1.1 & Annex 2] 							
Formal enforcement training? e.g.							
<ul style="list-style-type: none"> • PACE Training [Std - 5.4] 							
<ul style="list-style-type: none"> • CPIA Training [Std - 5.4] 							
<ul style="list-style-type: none"> • RIPA Training [Std - 5.4] 							
<ul style="list-style-type: none"> • RAN / Enforcement Sanctions Training 							
Training needs identified and programmed? [Std - 5.4]							
Qualification and training records complete and sufficiently detailed? [Std – 5.5]							

NOTES

<p>Level of officer authorisation (select ONLY from officers carrying out dairy hygiene inspections): [Std – 5.3]</p>	<p><i>For food safety and food standards 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></p> <p><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.</i></p>									
	1	2	3	4	5	6	7			
Name of Officer										
<p>General food/premises inspection and enforcement?</p> <ul style="list-style-type: none"> • Food Safety Act 1990 and subordinate regulations (CP 1.2.2) • Food Safety & Hygiene (England) Regulations 2013 • Food Hygiene (S/W) Regs 2006 • OFFC (England) Regs 2009 										

	1	2	3	4	5	6	7	8	9	10
Specific authorisation under Food Safety & Hygiene (England) Regulations 2013: <ul style="list-style-type: none"> • Reg 6 Hygiene Improvement Notices • Reg 8 Hygiene Emergency Prohibition Notices • Reg 9 Remedial Action Notices • Reg 10 Detention Notices • Reg 14 Sampling • Reg 16 Powers of Entry • Reg 29 Certify failing to meet food safety requirements 										
Specific authorisation under Food Hygiene (S/W) 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 										

<p>Imported food authorisations:</p> <ul style="list-style-type: none">• European Communities Act 1972• The Trade in Animals and Related Products (E/S/W) Regulations 2011/12/11• The Animal By-Products (Enforcement)(E/S/W) Regulations 2013/11/11• Specified Products from China (Restriction on First Placing on the Market)(E/S/W) Regs 2008										
<p>Qualifications, training & experience match authorisation and powers exercised in practice? [Std – 5.3 & 5.4]</p>										

NOTES

Checklist B – Approved Establishment Files

A maximum of 5 approved dairy establishments should be checked of various types. Examine the last inspection, partial inspection or audit for each file/record check.

	1	2	3	4	5	6	7
Premises name / File reference							
Type of establishment							
Approval number(s)							
Does the establishment appear on the relevant FSA list(s)?							
APPROVAL or RE- APPROVAL							
Written application on file ¹ ?							

¹ No requirement for establishments approved prior to 1/1/06 to re-apply for approval under 853/2004, however, after 1/1/06 look for evidence of subsequent assessment under 853/2004.

	1	2	3	4	5	6	7
Has there been a pre-approval assessment visit to determine application for approval and to assess compliance with all relevant requirements for approval?							
Record of pre-approval assessment and follow-up letter/report on file?							
Was the application dealt with promptly? ²							
Is there evidence that the establishment requires approval? ³ or,							
Was an approval assessment carried out at 1 st inspection after 1/1/06 in previously approved establishments?							
Approval decision - full (F) or conditional (C)? <i>[if conditional, complete Conditional approval section in checklist]</i>							
Where establishment was initially approved under revoked/previous legislation, has the establishment been appropriately re-approved under current hygiene legislation?							
Notification of Approval on file?							
Does the notification of approval include details of: <ul style="list-style-type: none"> activities to which approval relates 							

² FLCoP = within 28 days of receipt

³Eg POAO or exemptions - See FSA Approvals Guidance

	1	2	3	4	5	6	7
• any derogations granted?							
• Any other conditions specified by LA?							
Was approval granted without reasonable delay?							
Was the approval granted by the LA appropriate?							
CONDITIONAL APPROVAL							
Issue of Conditional Approval appropriate? ⁴ (CP 5.1.8, PG A.3.4)							
Follow-up reassessment inspection within 3 months of issue? (CP 5.1.8)							
Is any extension to conditional Approval appropriate? (CP 5.1.8)							
If Conditional Approval extended, was there an inspection within 6 months of original issue? (CP 5.1.8)							
FSA and FBO notified? (CP 2.4.3)							
Key Information and Documentation on File-[Std., 16.1 PG Annex 10]							
Synopsis of establishment on file ⁵ ?							

⁴ All infrastructure (inc HACCP) and equipment requirements met

⁵ To include type of premises, products produced and volume, type of trade, no. of employees, approval number and what approved for, cleaning methods employed

	1	2	3	4	5	6	7
Up to date information available covering: ⁶ :							
• Layout of establishment							
• Location of equipment							
• Work flows for each product line							
• Water distribution system (if private supply, was risk assessment carried out to ensure potable)							
• Drainage layout							
• Pest control							
• Labels bearing identification mark							
Inspection reports on file in chronological order							
Correspondence with establishment in chronological order							
Copies of notices or other formal action in chronological order							
Raw milk sample failure notifications – somatic cell & plate counts and antibiotic residues (first purchasers only)							

⁶ Recommended infrastructure guidance – not requirements.

	1	2	3	4	5	6	7
Copy of company's emergency withdrawal plan including full contact details of key personnel							
<i>Evidence that the following have been assessed and reviewed:</i>							
• HACCP documentation							
• Supplier information							
• Product list							
• Raw material, product and water test results							
• Process records							
• Management and key contact names and contact details							
• Product recall procedures							
• Evidence that an assessment of staff training has been undertaken by local authority							
• Results of all samples taken by LA							
• Location of any off-site facilities related to the approval							
Evidence of internal monitoring* [Std – 19.2 & CP – 7.1]							
Records up to date & accurate?							

	1	2	3	4	5	6	7
Records kept by the Authority for 6 years?							

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

Notes:

Checklist C – Approved Establishment Most Recent Inspection and Interventions Records

A maximum of 5 approved dairy establishments should be checked of various types. Examine the last inspection, partial inspection or audit for each file/record check.

Inspection/ Intervention Records	1	2	3	4	5	6	7
Premises name/file reference							
Inspections Summary							
Date of last inspection, partial inspection or audit							
Risk rating							
Date of previous inspection, partial inspection or audit?							
Risk rating							
Date of previous inspection, partial inspection or audit?							
Risk rating							
Premises inspected at correct frequency based on CP? [Std – 7.1]							
Last inspection/audit carried out by officer with correct authorisation? [Std- 5.3 CP 1.2.9.1.3]							
Appropriate LACORS/FSA aide memoire or equivalent in use for inspection [CP – 4.1.2]							
Report/letter sent? [Std - 7.4]							

Inspection/ Intervention Records	1	2	3	4	5	6	7
Report/ Letter details findings/ contraventions and clearly differentiates between legal requirements and recommendations?							
Premises correctly risk-rated at last inspection?							
Appropriate follow up action taken in accordance with LA Enforcement Policy?							
If not, reason documented?							
Revisited in accordance with LA policy [Std - 7.4]							
Evidence that local authority acting as home/originating authority?							
Actions & Records: Size and scale of business [CP – 4.5.3]							
Type of food activity [CP – 4.5.3]							
Confirmation of products produced							
Information on hygiene training [CP – 4.5.3]							
Details of food suppliers and other businesses to which food is supplied. General Food Regs. 2004 article 18 178/2002							
Confirmation of the scope of the inspection and if not all elements were covered, was the reason recorded?							

Inspection/ Intervention Records	1	2	3	4	5	6	7
Confirmation of operations carried out.							
Assessment of compliance with HACCP principles? (including heat treatment, cheese recovery & interface milk controls, where applicable, etc) [CP – 4.5.3]							
Discussion regarding the effectiveness of CCP's							
An examination of CCP records							
Design and maintenance of premises and equipment							
Pre-operational, operational and post-operational hygiene							
Personal hygiene							
Pest control							

Inspection/ Intervention Records	1	2	3	4	5	6	7
Water quality							
Temperature control (including raw milk holding temperatures)							
Controls of incoming and outgoing POAO							
Confirmation of correct identification marking of products							
ABP correctly segregated, marked, handled and disposed of							
Compliance with Reg 178/2002 including:							
<ul style="list-style-type: none"> • Art 18 -traceability one step back and forwards & required information. 							
<ul style="list-style-type: none"> • Art 18 –traceability exercises carried out during interventions? 							
<ul style="list-style-type: none"> • Art 19 – product recall arrangements 							

Inspection/ Intervention Records	1	2	3	4	5	6	7
Where relevant, hygiene regs Sched. 6 labelling - raw milk sales to consumer via distributor & EC Reg 853 unpasteurised dairy products)							
Representative <i>sampling, monitoring, reporting (to LA), control and disposal re: raw milk criteria EC Reg 853 (first purchasers only)</i>							
Are there checks on complementary reporting of SCC results to FSA COH by the FBO?							
<i>Valid procedures in place and reporting failures to LA of raw and processed milk plate counts immediately before processing [EC 853/2004 Annex III Section IX Chapter II Part III 1(a) & (b)]</i>							
Checks that FBO reporting OTF failures affecting it's product/s to LA							
Compliance with microbiological criteria during and after processing (Reg. 2073/2005)							
Shelf-life of product based on appropriate (valid) microbiological assessment and/or ongoing sampling programme where appropriate, which achieves compliance with micro criteria Reg 2073/2005							
Compliance with antibiotic residues criteria for raw milk							

Inspection/ Intervention Records	1	2	3	4	5	6	7
Non-compliances identified							
Intervention observations legible and retrievable?							
Evidence on file of internal monitoring?*							

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

Notes:

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Checklist D – Inspection/Intervention Report Form/Letters

A maximum of 5 approved dairy establishments should be checked of various types. Examine the last inspection, partial inspection or audit for each file/record check.

	1	2	3	4	5	6	7
Premises name/file reference							
Does the report form/letter include: (CoP annex 6)							
Trading name and address of the business, and registered address if different							
Name of the food business operator/proprietor							
Type of business							
Person seen/interviewed							
Date and time of intervention							
Specific legislation under which intervention conducted							
Areas inspected/audited							
Documents/other records examined							
Samples taken							

	1	2	3	4	5	6	7
Key points discussed during the intervention including any contravention identified and recommendations. <i>NB Annex 6 does not specifically require contraventions to be detailed although 3.1.6 does</i>							
Action to be taken by the food authority							
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]							
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]							

	1	2	3	4	5	6	7
Any evidence on file of internal monitoring of inspection reports/letters? *							

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

Notes:

Checklist E – RANs, Suspension and Withdrawal of Approval

Frequency of checks: A maximum of 5 which relate only to approved dairy establishments, or 100% if fewer have been served in the last 2 years.

	1	2	3	4	5	6	7
Premises name/file reference							
Remedial Action Notice							
Was the standard notice used? [standard forms in CP A.7]:							
Served by authorised officer (CP 1.2.9.1.8) ⁷							
Served on FBO or duly authorised representative (A.7)							
Use of RAN appropriate? (CP 3.5.3)							
<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							
Notice withdrawn in writing once officer satisfied notice has been complied with (CP 3.5.3)?							

⁷ EHO, 2 yrs post qualification experience in food safety, currently working in food enforcement and properly trained, competent and duly authorised.

	1	2	3	4	5	6	7
If notice not complied with, has appropriate follow-up action been taken (CP 3.1.3)?							
*Any evidence on files of internal monitoring? [Std-19.2]							
Suspension of Approval							
Does suspension notice [standard forms in A.9 of PG] specify:							
Fact that the authority is suspending Approval							
Reasons for decision to suspend							
Matters that need to be remedied in order to lift suspension							
Date on which suspension should take place							
Information regarding right of appeal?							
Did the local authority notify the FSA when served and when lifted?							
Written confirmation of compliance with notice?							
If notice not complied with, has appropriate follow-up action been taken?							
Withdrawal of Approval							
Was the FBO notified in writing of LA's decision to withdraw approval? [using standard forms in A.9 of PG]							
Was FSA notified in writing of LA's decision to withdraw approval? [using standard forms in A.9 of PG]							
Was withdrawal correct course of action? (CP 5.2.4)							

	1	2	3	4	5	6	7
Does notice of withdrawal specify: - Reasons for withdrawal -Matters necessary to satisfy requirements of the Regulation -Activities requiring approval may not be undertaken. -Right of appeal							
Evidence on file of consideration of suspension/withdrawal of approval where serious deficiencies found at the establishment?							
Evidence on file of internal monitoring?							

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

Notes

Checklist F – Hygiene Improvement Notices

Frequency of checks: A maximum of 5 which relate only to approved dairy establishments, or 100% if fewer have been served in the last 2 years

Name of Premises/Notice Identifier	1	2	3	4	5
<i>[Use a separate column where more than 1 notice has been served on the same premises].</i>					
HYGIENE IMPROVEMENT NOTICES					
(Detail reason for HIN below on separate table)					
Signed by correctly authorised officer? [CP – 1.2.9.1.5]					
Signed by officer witnessing contravention? [CP – 1.2.9.1.5]					
Was notice appropriate course of action?[CP – 3.2.2]					
Served on food business operator?					
Food business operators full name on notice? [LACORS Guidance June 2006]					
Details of regulation contravened? [CP – 3.1.6 & LACORS guidance 2006]					

Name of Premises/Notice Identifier	1	2	3	4	5
Reason for contravention: Reason specified? [PG – 3.2.4]					
Wording of notice clear & easily understood? [PG – 3.2.4]					
Wording reflects LACORS/centrally issued guidance?					
Works required: Measures to be taken specified? [PG – 3.2.4]					
Wording of works required clear & and easily understood? [PG – 3.2.4]					
Wording reflects LACORS & centrally issued guidance?					
Appropriate time limits? (14 days min.) [PG – 3.2.5]					
Liaison with Home/Primary Authority where appropriate? [PG – 3.2.10]					
Indication of works of equivalent effect? [PG – 3.2.7]					
Rights of appeal & name and address of relevant court? [PG – 3.2.9]					
Where local court sited? [PG – 3.2.9]					
Evidence of proper service by hand/post? [PG – 3.2.3]					

Name of Premises/Notice Identifier	1	2	3	4	5
Timely check on compliance? [PG – 3.2.8]					
Appropriate follow-up action taken if needed? [Std – 7.4]					
Written application for extension received? [CP 3.2.6]					
LA granted time extension? [PG – 3.2.6]					
Original notice withdrawn and new notice issued with revised compliance date? [PG – 3.2.6)					
Letter confirming compliance with HIN? [PG – 3.2.8]					
*Any evidence on file of internal monitoring? [Std – 19.2]					

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

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

NOTES

Checklist G – Emergency Prohibition Procedures

Frequency of Checks: A maximum of 5 which relate only to approved dairy establishments, or 100% if fewer have been served in the last 2 years.

Name of premises/Notice Identifier	1	2	3	4	5
HYGIENE EMERGENCY PROHIBITION NOTICE					
(Detail reason for notice below on separate table)					
Were the grounds for service of the HEPN consistent with CP guidance and enforcement policy? [Std – 15.1 & CP – 3.3.2]					
HEPN signed by correctly authorised officer? [CP – 1.2.9.1.5]					
HEPO application notified to proprietor at least the day before hearing? [PG – 3.3.2.2]					
Address of relevant court given? [PG – 3.3.2.2]					
Monitoring visits made? [PG –3.3.16]					
LA has responded to written request to lift the order from FBO within 14 days? [PG – 3.3.20]					

Name of premises/Notice Identifier	1	2	3	4	5
Certificates issued lifting HEPOs ASAP/within 3 days of determination? [PG – 3.3.20]					
Appeal rights notified to food business operator if lifting of HEPO refused? [PG – 3.3.22]					
Notification of continuing risk to health served ASAP where appropriate? [PG – 3.3.20]					
Premises subject to a revisit inspection? [CP – 4.2.5]					
Appropriate follow-up action taken on breach of a Notice/Order? [PG – 3.3.21]					
Enforcement action in accordance with LA’s Enforcement Policy? [Std – 15.3]					
*Any evidence on file of internal monitoring? [Std – 19.2]					

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

	1	2	3	4	5
EMERGENCY PROHIBITION NOTICE					
(Detail reason for notice below on separate table)					
Were the grounds for service of the EPN consistent with CP guidance and enforcement policy? [Std – 15.1 & CP – 3.3.3]					
EPN signed by correctly authorised officer? [CP – 1.2.9.1.6]					
EPO application notified to proprietor at least the day before hearing? [PG – 3.3.15]					
Address of relevant court given? [PG – 3.3.2.2]					
Monitoring visits made? [PG –3.3.16]					
LA has responded to written request to lift the order from proprietor within 14 days? [PG – 3.3.20]					
Certificates issued lifting EPOs ASAP/within 3 days of determination? [PG – 3.3.20]					
Appeal rights notified to proprietor if lifting of EPO refused? [PG – 3.3.22]					
Notification of continuing risk to health served ASAP where appropriate? [PG – 3.3.20]					
Premises subject to a revisit inspection? [CP – 4.2.5]					
Appropriate follow-up action taken on breach of a Notice/Order? [PG – 3.3.21]					
Enforcement action in accordance with LA's Enforcement Policy? [Std – 15.3]					
*Any evidence on files of internal monitoring? [Std – 19.2]					

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

FILE IDENTIFIER	REASON FOR CLOSURE
1.	
2.	
3.	
4.	
5.	

Notes:

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Checklist H Prosecutions

Frequency of checks: A minimum of 3 which relate only to approved dairy establishments, or 100% if fewer have been taken in the last 2 years.

	1	2	3	4	5
Name of Premises/Premises Identifier					
PROSECUTIONS					
(Detail reason for prosecution below on separate table)					
Was prosecution the appropriate course of action? [CP – 3.1]					
Authorised by officer with appropriate delegated powers? [Std – 5.3] [CUSTOMISE]					
Evidence that enforcement policy has been considered? [Std – 15.3]					
Has action been taken in line with Enforcement Policy? [Std – 15.3]					

	1	2	3	4	5
If no – Is the reason for the departure documented? [Std – 15.3]					
Prosecution taken without unnecessary delay? [CP – 3.1.10]					
Prosecution takes account of PACE requirements?					
If appropriate, prosecution takes account of RIPA requirements?					
Prosecuting Officer specified? (CPIA)					
Investigating Officer specified? (CPIA)					
Officer in Charge of the Investigation specified? (CPIA)					
Disclosure Officer specified? (CPIA)					
Schedule of unused information? (If necessary) (CPIA)					
Certificate from the disclosure officer re. un-used info? (CPIA)					
Prosecution prepared in accordance with LA procedures? [Customise]					
Action taken under correct legislation?					
*Any evidence on files of internal monitoring? [Std–19.2]					

	1	2	3	4	5
SIMPLE CAUTIONS					
(Detail reason for SC below on separate table)					
Was use of SC the appropriate course of action?					
Was the evidence adequately presented/ documented?					
Is there sufficient evidence of the suspect's guilt to meet the threshold test? **					
Is there a record of the admission of the offence signed by the suspect?					
Has SC been administered in accordance with Ministry of Justice guidance "Simple Cautions for Adult Offenders"? (Note compliance with this guidance by LAs not compulsory)					
Authorised by officer with appropriate delegated powers? [Std — 5.3] [CUSTOMISE]					
Evidence that Enforcement Policy has been considered? [Std — 15.3]					
Has action been taken in line with enforcement policy? [Std — 15.3]					
If no — Is the reason for the departure documented? [Std — 15.3]					
SC issued without unnecessary delay? [3.1.10]					

SC prepared in accordance with LA procedures? [CUSTOMISE]					
Action taken under correct legislation?					
*Any evidence on files of internal monitoring? [Std 19.2]					

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

*** Threshold test — sufficient evidence for there to be on an objective basis at least a reasonable suspicion that the person has committed an offence and it is in the public interest to charge.*

FILE IDENTIFIER	REASON FOR PROSECUTION
1.	
2.	
3.	
4.	
5.	

Checklist I –Detentions, Seizure and Voluntary Surrender (VS) of Food

Frequency of checks: A minimum of 3 files should be inspected which relate only to approved dairy establishments, or 100% if fewer have been served in the last 2 years.

	1	2	3	4	5
Name of Premises/premises Identifier					
VOLUNTARY SURRENDER					
(Detail reason for VS below on separate table)					
VS appropriate?					
Did receipts state “voluntarily surrendered for destruction”? [CP – 3.4.9]					
Receipt signed by the officer? [CP – 3.4.9]					
Counter-signed by person surrendering food? [CP – 3.4.9]					
Receipt records time place and method of destruction? [CP - 3.4.9]					
Record of destruction e.g. waste transfer note kept on file? [CP - 3.4.10]					
Where necessary was food disfigured/stained to prevent any possibility of it re-entering the food chain? [CP –3.4.10]					
*Any evidence on file of internal monitoring? [Std-19.2]					

	1	2	3	4	5
FOOD SAFETY ACT / FOOD SAFETY/HYGIENE REGS DETENTION					
Inspection and decision to detain food taken by correctly Authorised Officer? [CP – 1.2.9.3.1]					
Food detention notice signed by officer who takes the decision? [CP – 3.4.6]					
Detention appropriate? Y/N					
Does notice clearly specify foods to be detained? [CP – 3.4]					
Arrangements made to ensure the security of the food were satisfactory? [CP – 3.4.4]					
Removed to another Authority's area? (Y/N)					
If yes, arrangements made with LA to monitor? [CP – 3.4.4]					
Withdrawal notice served within 21 days? (Y/N) [CP – 3.4.7][FOOD SAFETY ACT ONLY]					
Withdrawal notice served once officer satisfied food no longer needs to be detained. [FOOD SAFETY/HYGIENE REGS ONLY]					
Decision re withdrawal notice taken by correctly authorised officer? [CP – 3.4.7]					
If not withdrawn, has food been seized? [FSA s9]					
*Any evidence on file of internal monitoring? [Std-19.2]					

	1	2	3	4	5
REGULATION 27/29 CERTIFICATION					
Standard form used? (CP 3.4.2)					
Action appropriate?					
Food subsequently seized or voluntary surrendered?					
SEIZURE					
Inspection and decision to detain food taken by correctly Authorised Officer? [CP – 1.2.9.3.1]					
Seizure appropriate? Y/N					
Written confirmation issued immediately after seizure? [CP – 3.4.6]					
Chain of evidence from detention to seizure? [CP – 3.4.5]					
Person in charge notified of hearing by food condemnation warning notice? [CP – 3.4.6]					
Owner notified of hearing? [CP – 3.4.6]					
Food brought before magistrate within two days? [CP – 3.4.5]					
Receipt records time, place and method of destruction? [CP – 3.4.9]					
Record of destruction e.g. waste transfer note kept on file? [CP - 3.4.10]					
*Any evidence on file of internal monitoring? [Std-19.2]					

* Details of internal monitoring may be maintained separately].

FILE IDENTIFIER	REASON FOR VOLUNTARY SURRENDER
1.	
2.	
3.	
4.	
5.	

FILE IDENTIFIER	REASON FOR DETENTION
1.	
2.	
3.	
4.	
5.	

FILE IDENTIFIER	REASON FOR CERTIFICATION
1.	
2.	
3.	
4.	
5.	

FILE IDENTIFIER	REASON FOR SEIZURE
1.	
2.	
3.	
4.	
5.	

Notes

Checklist J – Food Safety Alerts, Incidents, OTF Status Loss Notifications

Frequency of checks: Prior to the on-site audit, auditors should select a minimum of five incidents/Alerts that apply to approved dairy hygiene establishments, to include a minimum of two OTF status loss notifications.

FSA/FA reference <i>[Auditor should note any notifications, alerts or incidents that have been highlighted in pre-audit research that are relevant to approved dairy establishments in the area.]</i>	Information /Action	Date issued	Action required [CP – 1.7, 2.2, PG Annex 6]	Date Received by LA	Action consistent & appropriate with instructions /guidance [CP – 1.7, 2.2, PG Annex 6]	Actions and outcomes documented (including no action taken) [Std – 14.3]

NOTES

Checklist K – FBO Failure Notifications - Raw Milk Criteria

Frequency of checks: Auditors should check a minimum of five raw milk criteria failures notified to the local authority by approved dairy establishments in the area.

LA reference	Date received by LA	Action taken by LA	Action appropriate [CP – Sections 1.7, 3, PG annex 6]	Actions and outcomes documented (including no action taken) [Std – 14.3]

Checklist L - Sampling

Frequency of Checks: A maximum of 5 checks should be made from different approved dairy establishments where possible. Priority should be given to samples with 'unsatisfactory' results.

	1	2	3	4	5	6	7	8	9	10
Sample number/premises reference:										
General										
Part of sampling programme/in accordance with sampling policy. [Std – 12.3 & CP – 6.1.2]										
Taken by trained authorised officer [CP – 1.2.7] [For Feeding Stuffs: Std – 5.3]										
Results on file [Std – 16.1]										
Appropriate action taken [Std – 12.5]										
Business informed of (unsatisfactory) result. [CP – 6.1.9 (analysis) & 6.1.13 (examination)]										
Liaison with home/originating/primary authority as appropriate. [CP – 6.1.2]										

	1	2	3	4	5	6	7	8	9	10
*Evidence of internal monitoring on files? [Std-19.2]										
Formal Sample for Analysis										
Notification of Manufacturer/packer and/or importer [CP – 6.1.7 & 6.1.9]										
Part of sampling programme/in accordance with sampling policy. [Std – 12.3 & CP – 6.1.2]										
Taken by trained authorised officer [CP – 1.2.7] [For Feeding Stuffs: Std – 5.3]										
Results on file [Std – 16.1]										
Appropriate action taken [Std – 12.5]										
Business informed of (unsatisfactory) result. [CP – 6.1.9 (analysis) & 6.1.13 (examination)]										
Liaison with home/originating/primary authority as appropriate. [CP – 6.1.2]										
*Evidence of internal monitoring on files? [Std-19.2]										

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

NOTES

Checklist M –Food and Food Premises Complaints
Section 8 – Food and food premises complaints

AUDITORS TO USE THIS CHECKLIST ONLY IF ISSUES ARISE DURING OTHER AUDIT CHECKS REGARDING EFFECTIVENESS OF MONITORING ACTIONS.

Frequency of checks: A maximum of 5 complaints which relate to approved dairy establishments, should be checked. These should be sampled across the officers dealing with complaints and include a variety of types of complaint.

File reference	1	2	3	4	5	6	7	8
Complaint reference								
Complete information on complainant/food/premises [LACORS guidance]								
Contact with supplier/manufacturer and/or importer as appropriate. [LACORS guidance]								
Contact with Home/Originating/Primary authorities as appropriate. [CP – 1.1.7]								

File reference	1	2	3	4	5	6	7	8
Appropriate investigation carried out.								
Appropriate action taken on findings								
Confirm results of investigation with supp/man/importer. [Std – 8.3]								
Confirm results of investigation with complainant. [Std – 8.3]								
Confirm results of investigation with HA/OA/PA [Std – 8.2]								
Complies with timing set out in Authority procedures?								
Complaint details on premises file [Std – 16.1]								
FSA contacted as appropriate. [CP – 1.7.6 & 2.4]								
*Any evidence of internal monitoring on files? [Std -19.2]								

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

NOTES

A series of 25 horizontal dashed lines for data entry.