



Xxxxx Council

Date of Audit :

Audit Checklists

ASSESSMENT OF LOCAL AUTHORITY IMPLEMENTATION OF FSA GUIDANCE CONTROLLING CROSS-CONTAMINATION FROM E.coli O157

(September 2013)

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Checklist A - Food Premises Inspections (including General and Approved Establishments)

Frequency of checks: A minimum of 5 files should be examined. The emphasis should be on premises where raw and RTE foods are handled, and those where an extra score of 20 for method of processing or significance of risk has been added determined from the PVQ, inspection histories and pre-site audit checks. **Auditors should try and select a mix of premises including approved establishments.**

	1	2	3	4	5	6	7	EVIDENCE AND NOTES
File Name/identifier Food Hygiene: (A, B and C risk categories – examine a minimum of the last 3 inspections)								
1. Current/latest risk rating and date								
2. If the risk rating(s) were revised from previous, are reasons recorded on file? Please note especially where this is in relation to cross-contamination guidance issues. [CP – 4.1.5.2.5]								
3. Where an additional score of 20 for method of processing and/or significant risk has been added, has this been allocated in accordance with the CoP?								
4. Preceding risk rating and date								

	1	2	3	4	5	6	7	EVIDENCE AND NOTES
5. Was the business correctly risk assessed at the last two interventions? [Std – 7.1 & CP – 4.1.5] NB can only assess intervention rating following inspection, partial inspection or audit where sufficient information is gathered to complete an assessment.								
6. Appropriate aide-memoire in use? [CP – 4.1.3]								
7. Detailed records of inspection maintained? [Std – 16.1 & CP – 4.5.3]								
8. Copies of correspondence with FBO (CP 4.5.3)								
9. Copies of food sample examination results (CP 4.5.3)								
10. Records - Size and scale of business [CP – 4.5.3]								
11. Records - Type of food activity [CP – 4.5.3]								
12. Records - Details of: <ul style="list-style-type: none"> • food suppliers, and; • businesses to which food is supplied. [The General Food Law Regulation (EC) No. 178/2002 Article 18]								
13. Records - Product recall/withdrawal arrangements as appropriate. (Depends on size/scale of business)								

	1	2	3	4	5	6	7	EVIDENCE AND NOTES
ASSESSMENT OF COMPLIANCE WITH HACCP REQUIREMENTS								
14. Type of Food Safety Management <ul style="list-style-type: none"> • Bespoke • CookSafe 								
15. Is there evidence of an effective assessment of FBO compliance with procedures based on HACCP principles?								
16. Where applicable, have appropriate and proportionate actions been taken where issues relating to the HACCP system have been identified?								
17. Information on Hygiene and FSMS training? (CP hygiene 4.5.3)								
ASSESSMENT OF COMPLIANCE WITH FSA E.coli GUIDANCE								
18. Is appropriate evidence recorded by the local authority, of FBO implementation of cross-contamination control of the following:								(May need to write additional notes for detailed evidence)
<ul style="list-style-type: none"> • Designation of separate clean environments/physical separation? 								
<ul style="list-style-type: none"> • Identification of separate equipment? 								
<ul style="list-style-type: none"> • Cleaning procedures and efficacy of cleaning of surfaces and utensils? 								

	1	2	3	4	5	6	7	EVIDENCE AND NOTES
<ul style="list-style-type: none"> Preparation and use of disinfectants and sanitisers? 								
<ul style="list-style-type: none"> Personal hygiene including documented handwashing procedures and the use of protective clothing? 								
<ul style="list-style-type: none"> Training and supervision of staff? 								
<ul style="list-style-type: none"> Arrangements for monitoring, verification checks, record keeping and corrective actions? 								
ASSESSMENT OF COMPLIANCE WITH GENERAL HYGIENE REQUIREMENTS								
19. Do records of inspection findings confirm adequate assessment of compliance with general hygiene requirements in Annex II, Reg. 852/2004 , as follows:								
<ul style="list-style-type: none"> Layout and design (Ch I) 								
<ul style="list-style-type: none"> Equipment requirements (Ch V) 								
<ul style="list-style-type: none"> Water supply (Ch VII) 								
<ul style="list-style-type: none"> Personal Hygiene (Ch. VIII)? 								
<ul style="list-style-type: none"> Foodstuffs (Ch IX) 								

	1	2	3	4	5	6	7	EVIDENCE AND NOTES
• Wrapping & packaging materials (Ch. X)?								
• Information on hygiene training [CP – 4.5.3] (Ch. XII)?								
20. Are significant issues/contraventions at each inspection adequately highlighted for follow-up?								
21. Has a follow-up report or letter been sent in accordance with LA policy and centrally issued guidance? [Std-7.4 & CP 4.5.2]								(Check letters/reports for E. coli references/cross-contamination issues.)
22. Does the report / letter have the requirements of Annex 5 ?								
23. Have appropriate and proportionate follow-up actions been taken where inspection findings have identified that corrective actions have not been properly implemented by the FBO								
24. Where failures were identified have actions been taken in line with the Authority’s own enforcement policy? Graduated, proportionate etc.								

	1	2	3	4	5	6	7	EVIDENCE AND NOTES
25. Have previously identified issues/contraventions, predominantly those relating to the Food Safety Management System/E.coli O157 guidance, been addressed, and has appropriate and proportionate action been taken in case of recurring issues/contraventions?								
26.If voluntary closure, what was the health risk condition?								
27.Was VC agreed by FBO and not opened without LA approval.								
28.Was VC procedure in accordance with CoP.								
29. Evidence of internal monitoring on files, including risk ratings? [Std – 19.2 & CP – 7.1]								

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Checklist B - Statutory Notices (HINs, HEPNs, RANs, Seizure and Detention Notices) in relation to E.coli cross-contamination guidance

Auditors should select files where issues associated with the FSA E.coli guidance have been identified.

STATUTORY NOTICE	1	2	3	4	5	EVIDENCE AND NOTES
Name of Premises/Notice Identifier [Use a separate column where more than one notice has been served on the same premises] (You might wish to obtain copies of notices for sharing 'good practice')						
Type of notice e.g. HIN, HEPN, RAN						
Detail reason for notice/enforcement action.						
1. Was notice appropriate course of action? [CP – 3.2.2]						
2. Was notice appropriately drafted & served (PG 3.2.4)						
3. Wording reflects cross contamination guidance?						
4. Actions and follow-up actions taken in accordance with the CoP and the Standard? [Std – 15.3]						

STATUTORY NOTICE	1	2	3	4	5	EVIDENCE AND NOTES
5. Does notice adequately cover identified issue(s) with the cross-contamination guidance?						
6.If notice appealed were LA actions in accordance with PG						
7. Any evidence on file of internal monitoring? [Std – 19.2]						

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