



Audit Protocols

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

(September 2013)

Local Authority:

Date of Audit:

Auditors:

ALO:

Question	Comments/ Evidence	[Left free for any references or other notes]
1. Is a Service Plan provided and in accordance with Service Planning Guidance in the Framework Agreement?		
2. Any reference to Cross Contamination guidance implementation, or acknowledgement of Pennington Inquiry findings more generally, included in the Service Plan or any other LA documentation e.g. committee reports?		
3. Any other relevant information provided by the Authority pre- audit? i.e. Has the Authority adopted the SFELC Implementation Strategy? Is this documented in the Service Plan?		
4. Any information for businesses about implementation of guidance on Authority's website? (Give details)		
5. How have officers been informed of the guidance e.g. email circulars, cascade training, team meetings, attendance at FSA/other training?		

Question	Comments/ Evidence	[Left free for any references or other notes]
(a) Are these documents available?	E. coli O157 Control of cross contamination guidance (Feb 2011) Q&A Controlling the risk of cross contamination from E.coli O157 (July 2012) Decision tree: Considering disinfectant controls put in place by FBO's (July 2012) Decision tree: Considering hand washing controls put in place by FBO's (July 2012) Food Law CoP (March 2009)	
(b) Are ATP kits mentioned, or available and used as procedure requires?		
6. How have you disseminated the guidance and factsheet to food business operators, or any specific food sector? (e.g. mail shots, advisory visits, advice during interventions, holding workshops, distributing butchers DVD etc)		
7. Do you have any other examples of advice or other promotional activities to businesses?		
8. How have you implemented the guidance? (Clarify if applied to butchers and/or other food businesses e.g. caterers) Qns (a) to (c)		
(a) Through focussed inspection/ interventions programme?		

Question	Comments/ Evidence	[Left free for any references or other notes]
(b) Changes in aide-memoire/procedures?		
(c) Specific initiatives? (detail)		
9. How have you implemented the following main areas of the Guidance?		
(a) Physical separation (premises and equipment/utensils)		
(b) Identification of separate equipment?		
(c) Dual use of complex equipment		
(d) Effective cleaning procedures		
(e) Preparation and use of disinfectants and sanitisers		For ref: Lab standards for disinfectants are BS EN 1276:1997 BS EN 1276:2009 BS EN 13697:2001

Question	Comments/ Evidence	[Left free for any references or other notes]
(f) Personal hygiene and hand washing		
(g) Training and supervision of staff		
(h) Management controls and documented procedures		
<p>10. Inspections carried out? Inspection file checks (look at relevant premises files e.g. butchers or high risk caterers where guidance has or should have been implemented)</p> <p>Comment on any changes to the inspection programme due to implementation of the guidance.</p>		<p>Comment on, in particular:</p> <ul style="list-style-type: none"> • correct inspection frequencies • How/if scoring has changed as a result of the guidance for these premises (e.g. additional 20 score for type of processing and significant risk where appropriate) • HACCP evaluations • Guidance implemented
<p>11(a) What informal action have you taken where businesses have not implemented the guidance? (From file checks)</p>		

Question	Comments/ Evidence	[Left free for any references or other notes]
11(b) Has this informal action resulted in improvements being made?		
12(a) Have you taken any formal enforcement where businesses have not implemented the guidance e.g. using HINs, RANs, HEPNs		
12(b) Has this formal action resulted in improvements being made?		
13. Have you carried out sampling checks in relation to guidance implementation?		
14. Was this part of a local, regional or national project?		
15. Have you received any complaints or service requests in relation to the guidance? If so, what action was taken?		

Question	Comments/ Evidence	[Left free for any references or other notes]
16. What internal monitoring checks have been carried out with regard to implementation of the guidance?		(e.g. consistency in implementation across sectors, Risk Rating scores)

NOTES
