

	1	2	3	4	5	6	7	8	9	10
Drafting / Issuing of Improvement Notices [Std – 5.4]										
Qualifications match authorisation [Std – 5.3]										
Training needs identified and programmed.[Std-5.4]										
Content/Duration of Training [Std-5.3]										
Assessment of training [Std-5.3]										
Authorisation										
European Communities Act 1972										
Products of Animal Origin										
Food Safety Act 1990										
Section 9 – Inspection / Seizure / Detention										
Section 10 - improvement notices										
Section 12 – Emergency Prohibition										
Section 29 – Sampling										
Section 30 – Sampling										
Section 32 Powers of Entry										

NOTES

Checklist D - Premises files
Section 15 - Enforcement

A minimum of 10 premises files for each discipline (Food hygiene and Food Standards) should be examined to establish if the follow up action/enforcement is appropriate and graduated and in line with the Authority's enforcement policy. Start with high risk premises and move onto to lower risks if there are not enough.

	1	2	3	4	5	6	7	8	9	10	11	12
File Name/identifier												
Date latest inspection [Std – 7.1]												
Risk rating category [Std – 7.1]												
Date previous inspection [Std – 7.1]												
Risk rating category [Std – 7.1]												
Date of previous inspection [Std – 7.1]												
Risk rating category [Std – 7.1]												
<i>Were applicable</i> – is there a graduated approach to HACCP Reg. 4(3)												
Evidence of appropriate enforcement action in line with Enforcement Policy?												

NOTES

	1	2	3	4	5	6	7	8	9	10	11	12
Indication of works of equivalent effect [CP – 5.44]												
Who to appeal to [CP – 5.50]												
Where local court sited [CP – 5.50]												
Time period of appeal given [CP - 5.50]												
Evidence of proper service by hand/post [CP – 5.27]												
Timely check on compliance [CP – 5.55]												
Appropriate follow-up action taken if needed? [Std – 7.4]												
LA granted time extension Y/N [CP – 5.43]												
Proprietor written to – new time limits [CP – 5.43]												
Letter confirming works are satisfactory [CP – 5.55]												

NOTES

	1	2	3	4	5	6	7	8	9	10	11	12
Appropriate follow-up action taken on breach of a Notice/Order or voluntary agreement?												

NOTES

	1	2	3	4	5	6	7	8	9	10	11	12
Certificate from the disclosure officer re. unused info. (CPIA)												
Where applicable, takes into account the provisions of RIPA												
Prosecution prepared in accordance with LA procedures												

NOTES

	1	2	3	4	5	6	7	8	9	10	11	12
Decision re Withdrawal notice taken by correctly authorised officer [CP - 4.28]												
If not withdrawn, has food been seized [FSA 90 s9, CP – 4.27]												
SEIZURE												
Was action appropriate and in line with enforcement policy?												
Seized by correctly authorised officer [CP - 4.20]												
Written confirmation issued immediately after the seizure. [CP – 4.20]												
Chain of evidence for seizure? [CP - 4.23]												
Food brought before magistrate within two days [CP - 4.11]												
Person on charge notified of hearing by food condemnation warning notice [CP - 4.20]												
Owner notified of hearing [CP - 4.20]												
Appropriate follow-up action?												

NOTES

File reference	1	2	3	4	5	6	7	8	9	10
Assessment of HACCP 'own checks'. [CP – 9.29]										
Checks on the correct use of health marking.										
Suspension										
Is the action appropriate and in line with the enforcement policy										
Was the correct procedure followed										
Refusals										
Was it appropriate to refuse approval										
Written notification of refusal										
Revoked approval										
Written notice of intention to revoke										
Was an Emergency Prohibition order in place prior to revocation. (Dairy Products, Egg Products and Fishery Products only)										
Written notification of revocation to applicant?										
Evidence that the Agency informed of the revocation										
Was the revocation appropriate/timely?										

NOTES

Checklist L –Complaints

Section 8 - Food and Food Premises Complaints

Frequency of checks: A minimum of 5 (where appropriate do more) complaints should be checked. These should be sampled across the officers dealing with complaints and include a variety of types of complaint. Officers should consider the history of a food/premises subject of a complaint (including any contact made with home authorities) in determining whether the actions taken were appropriate.

	1	2	3	4	5	6	7	8	9	10	11	12
Complaint reference												
Appropriate action taken in line with the enforcement policy? [Std – 8.3]												
If formal action would be appropriate is there sufficient evidence on file.												

NOTES

Checklist M - Sampling

Section 5 – Authorised Officers

Section 12 – Food inspection and sampling

Frequency of Checks: A minimum of 5 checks should be made. Officers should consider the history of advice given or previous unsatisfactory samples (including information obtained from home authorities for the businesses concerned) when deciding whether the action taken was appropriate.

	1	2	3	4	5	6	7	8	9	10
Sample reference number/premises ref.										
Appropriate action taken in line with enforcement policy?[Std – 12.5]										
If formal action would be appropriate is there sufficient evidence on file.										

NOTES

Checklist O - Documented procedures

Section 4 - Review and Updating of Documented Policies and Procedures

(Note to LA - this list is updated regularly and the information below is only an example)

Legislation/publications/ information	Correct version available	Comments – e.g. on superseded documents.
FSA 1990		
FSA Code of Practice No.1 Responsibility for Enforcement of the Food Safety Act 1990. Issued 1991.		
FSA Code of Practice No.2 Legal Matters. Issued 1991.		
FSA Code of Practice No.4 Inspection, Detention and Seizure of Suspect Food. Issued 1991.		
FSA Code of Practice No.5 The Use of Improvement Notices (revised 1994)		
FSA Code of Practice No.6 Prohibition Procedures		
FSA Code of Practice No. 16 The Enforcement of the Food Safety Act in Relation to the Food Hazard Warning System plus Supplement – Revised October 2002		
FSA Code of Practice No.17 Enforcement of the Meat Products (Hygiene) Regulations 1994. Issued 1994		
FSA Code of Practice No.18 Enforcement of the Dairy Products (Hygiene) Regulations 1995. Issued 1995.		
FSA Code of Practice No.19 Qualifications and Experience of Authorised Officers (revised Oct 2000)		

Legislation/publications/ information	Correct version available	Comments – e.g. on superseded documents.
FSA Code of Practice No.20 Exchange of Information between Member States of the EU on routine Food Control Matters. Issued 1996		
Home Office Guidance on Formal Cautions		
LACORS Guidance on Hazard Analysis		
Code for Crown Prosecutors Issued 2000 by CPS		
Police and Criminal Evidence Act 1984 as amended		
PACE codes of Practice A-E		
Criminal Procedures and Investigations Act 1996		
Regulation of Investigatory Powers Act 2000		
Covert Human Intelligence Source Code of Practice published August 2002		
Covert Surveillance Code of Practice published August 2002		
Local procedures		
Enforcement policy		
All procedures that detail enforcement/follow-up action to be taken. Check PVQ information for relevant procedures and detail whether current versions are available.		

File Identifier	1	2	3	4	5	6	7	8	9	10
Licence refused										
Was refusal appropriate.										
Notice specifies conditions, which aren't satisfied. [Para. 3.2]										
Notice contains appeal rights. [Para. 3.2]										
Appropriate follow up action taken and in line with the enforcement policy.[Std – 7.4]										
Licence suspended/revoked										
Notice specifies breached conditions [Para. 10.2]										
Notice specifies appeals arrangements. [Para. 10.3]										
Monitoring to check that no unlicensed premises are in operation [Para. 2(a)]										
Was any follow-up action appropriate and in lin with the enforcement policy.										

NOTES

Checklist Q – Food related Infectious Disease Notifications Outbreaks

	1	2	3	4	5	6	7	8	9	10	11	12
File Reference												
Was an appropriate investigation carried out and appropriate action taken.												
Was FSA Code of Practice 16 considered regarding notification												
Is there anything on the file that suggests that formal action should have been taken												

NOTES
