

UK SURVEY OF HYGIENE STANDARDS IN FOOD PREMISES 2005

Foreword

Major changes have taken place in food hygiene controls since January 2006, with the requirement under the EC Food Hygiene Regulation for all businesses to have in place documented procedures based on HACCP principles. This survey will provide a baseline to enable the Agency to measure future improvement in hygiene standards as a result of the new Regulation, and the various initiatives to help small and medium sized businesses adapt. The survey would not have been possible without the assistance and cooperation of local authorities, individual Environmental Health Practitioners, and LACoRS (Local Authorities' Coordinators of Regulatory Services). I would like to thank everyone involved for the excellent response to our request for participation in the survey, and hope that they participate in future surveys.

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SUMMARY

- The Food Standards Agency has carried out a national survey to assess standards of hygiene in UK food premises. All UK local authorities (LAs) were invited to complete a questionnaire on a sample of up to 20 food premises in their area. Between July and November 2005, 316 LAs (which represents 73% of LAs) returned questionnaires based on their inspections, on a total of just under 5000 food premises.
- An overall assessment of hygiene practices, procedures and controls indicated that 13% of the premises surveyed showed major non-compliance with statutory hygiene obligations. A further 46% of premises showed some non-compliance with either statutory requirements or industry codes of practice.
- The Agency is concerned that 13% of businesses are demonstrating major non-compliance. However, local authorities have a hierarchy of powers available at their disposal to take action. This ranges from closure or prosecution of the business where there is an imminent risk to health, to issue of improvement notices or advice where breaches are considered to be less serious. As the data was derived from information gathered during a planned inspection of food business, all local authorities followed up any incident of major non-compliance with one or more corrective actions open to them.
- The Agency is driving a range of initiatives to reduce levels of non-compliance. This includes piloting a scheme to inform consumers about how a food business performed at its last hygiene inspection, and providing resources to local authorities to give targeted advice to caterers and independent retailers.
- Premises were assessed for the overall risk to public health, and 7.2% of the premises were considered to present a 'high' risk.
- The risk to public health differed between different types of business, with catering establishments having a larger proportion of premises considered high risk than other types. Within caterers, take-aways were the group with the highest risk to public health.
- At the time of the survey, 39% of businesses were considered to have fully satisfactory documentation of food safety management procedures based on HACCP principles (Hazard Analysis Critical Control Point). Before 1 January 2006, maintaining documentation was voluntary, but this requirement has since become compulsory under the 2006 EC Hygiene Regulations.
- Premises that had been in business for less than 3 months presented a lower risk to public health than those businesses in operation between 3 months and one year.
- Data collected on the managerial controls in food businesses showed that 74% of businesses had full or good awareness of the 'Four Cs' of hygiene: chilling, cross-contamination, cleaning and cooking; which was introduced in the Agency's Food Hygiene Campaign.

INTRODUCTION

On 1 January 2006, the General Food Hygiene Regulation (Regulation (EC) 853/2004) applied in all EU Member States. This reinforces the risk-based approach to controlling food hygiene and requires businesses to adopt procedures (including documentation) to demonstrate that the new risk-based approach is being implemented. Since its establishment, the Agency has been undertaking educational and training programmes to reduce foodborne illnesses and improve food hygiene practices in both businesses and the home. In preparation for the new EC Food Hygiene Regulation, the Agency has also introduced several programmes: 'Safer Food Better Business' (SFBB) in England; 'Cooksafe' in Scotland; 'Safe Catering' in Northern Ireland and the HACCP implementation strategy in Wales.

The last comprehensive survey of hygiene standards in food premises was carried out by the Audit Commission in 1990. However, the regulatory hygiene requirements in place at that time were quite different, and it would be difficult to draw accurate comparisons with the new requirements. Therefore, in order to have a baseline of food hygiene standards prior to the introduction of the new hygiene requirements, and also to enable the effectiveness of Agency interventions to be measured, it was decided to carry out this survey.

THE SURVEY

A questionnaire, developed by the Agency's Enforcement Division, was sent to all the local authorities (LAs) in the UK. A sampling plan was included in the guidance attached to the questionnaire, to ensure a good distribution of different types and sizes of food businesses in the sample. The questionnaires were completed by Environmental Health Practitioners (EHPs) following hygiene inspections of food premises carried out between July and November 2005, and were returned to the Agency for compilation and analysis. Due to the nature of the inspection cycle, high risk premises are inspected more frequently and Appendix A on the methodology explains how the data were corrected to take account of this.

The questionnaire covered general background information on the premises, as well as an assessment of the standards of food hygiene of the business made during the inspection. This included an overall assessment of the level of compliance with food hygiene legislation, the overall risk to public health of the premises, as well as scoring for individual risks associated with facilities, hygiene practices, management awareness and control procedures. The questionnaire and guidance used in the survey is reproduced at the end of this report.

The questionnaires were completed after planned inspec-

tions, which assessed premises against hygiene standards, according to the Food Safety Act 1990 Code of Practice. Where businesses are found to have problems of compliance, there is a hierarchy of actions that local authorities can take depending on the degree of non-compliance (see Appendix B). This includes the use of emergency prohibition notices to close down the business where there is an imminent risk to health, the disqualification of food business handlers and/or prosecution of food business operators. Local authorities may issue improvement notices, written advice or oral instructions where breaches are considered to be less serious. Local authorities will have set out in their published Enforcement Policies how they intend to make use of these powers. Prompt follow-up action will have been taken after inspections to rectify any problems found in the premises included in the survey. This survey was an information-gathering exercise to give a baseline of food hygiene standards, on the back of the LAs' enforcement regime, and all premises were assessed on an anonymous basis.

It should also be noted that the survey was not carried out to measure local authorities' performance. The Agency already has programmes in place to collect inspection and follow-up action statistics, as well as auditing local authorities on an ongoing basis, to agreed standards. Further details on these Agency programmes can be found on our website www.food.gov.uk in the 'Enforcement' section, under either 'Control of Foodstuffs Data' or 'The Audit Programme'.

If consumers wish to find out more about enforcement of food hygiene standards in their area, or to report a complaint against a specific food business, they should contact the Environmental Health Department or Food Safety Team at their local council or authority. Local council or authority contact details can be found through www.direct.gov.uk or in the local phone directory.

A total of 316 LAs, which represents over two-thirds (73%) of all UK LAs who carry out food hygiene inspections, returned questionnaires on 4846 premises. The responses received from each of the UK's four countries are shown in

Table 1. The number of participating LAs from the UK's four countries

| Country | Participating LAs (Total LAs*) | Participating LAs as a % of each country | % of participating LAs |
|------------------|--------------------------------|--|------------------------|
| England | 253 (354) | 71% | 80% |
| Scotland | 23 (32) | 72% | 7% |
| Wales | 15 (22) | 68% | 5% |
| Northern Ireland | 25 (26) | 96% | 8% |
| Total | 316 (434) | Ave 73% | 100% |

* Excluding Port Health Authorities and authorities who are concerned only with Trading Standards issues

Table 1. As can be seen from these figures, the returns from England dominate the results, and it should be borne in mind when discussing results from the four countries separately, that purely because there are fewer LAs in Scotland, Wales and Northern Ireland, there were a smaller number of returns from these countries, in comparison with England.

The numbers of different types of premises covered in survey are given in Table 2. These figures are very similar between the four UK countries (therefore the breakdown by country is not shown).

The results reported are based on the details of premises returned, which may not represent the breakdown of premises by type and other characteristics in the UK as a whole.

Table 2. The number of premises surveyed, by type

| Premises Type | Number (%) premises sampled |
|---------------------------|-----------------------------|
| Manufacturer | 375 (7.7%) |
| Large food retailer | 635 (13.1%) |
| Small food retailer | 648 (13.4%) |
| Caterer (total) | 3188 (65.8%) |
| - Restaurant / cafe | 992 (20.5%) |
| - Take-away | 848 (17.5%) |
| - Mobile food unit | 196 (4.0%) |
| - Pub / club | 328 (6.8%) |
| - Hotel / Guest house | 232 (4.8%) |
| - Hospital / nursing home | 302 (6.2%) |
| - School / college | 290 (6.0%) |
| Total | 4846 (100%) |

FINDINGS

COMPLIANCE OF FOOD BUSINESSES WITH HYGIENE LEGISLATION

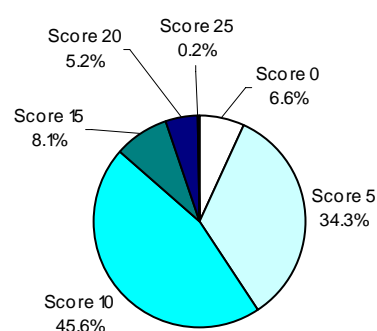
This first section shows the results of questions to assess the level of both current food hygiene compliance and safety procedures and also the confidence in maintaining compliant control systems in future, which includes the adequacy of documentation. Guidance on both these issues is given in the Food Law Code of Practice and EHPs should be familiar with assessing businesses against these standards in their routine hygiene inspections.

Assessment of Hygiene Procedures, Practices and Controls

EHPs were asked to make an overall assessment of hygiene procedures, practices and controls in place in the food

premise, in line with the inspection rating scheme in operation at the time, under A5.3.2 (Part 2) of the Food Safety Act 1990 Code of Practice (published October 2004) for England, and equivalent legislation in Scotland, Wales and Northern Ireland. (The Code of Practice was updated from 1 January 2006 in line with the EC Food Hygiene Regulation.) The score given indicates the degree of compliance with legislative requirements. In total, 13% of premises surveyed showed major non-compliance with statutory obligations (scoring 15, 20 or 25 for current compliance; see Figure 1).

Figure 1. An overall assessment of hygiene procedures



Note that numbers may not add up to 100% as they have been rounded to 1 decimal place

| Score | Guidance on the compliance scoring system |
|-------|---|
| 0 | High standard of compliance with statutory obligations and industry codes of recommended practice; conforms to accepted good practices in the trade. |
| 5 | High standard of compliance with statutory obligations and industry codes of recommended practice, minor contraventions of food hygiene regulations. Some minor non-compliance with statutory obligations and industry codes of recommended practice. |
| 10 | Some non-compliance with statutory obligations and industry codes of recommended practice. The premises are in the top 50% of premises and standards are being maintained or improved. |
| 15 | Some major non-compliance with statutory obligations - more effort required to prevent fall in standards. |
| 20 | General failure to satisfy statutory obligations - standards generally low. |
| 25 | Almost total non-compliance with statutory obligations. |

Details taken from Annex 5 of the Food Safety Act 1990 Code of Practice

There are a number of ways that premises may not comply with the Regulations, and non-compliance does not necessarily mean that premises present a food safety risk. However, any level of major non-compliance warrants further action. For all these premises, after the inspection, local authorities took one or more of the appropriate corrective actions outlined in Appendix B. A further 46% of premises showed some (minor) non-compliance with either statutory requirements or industry codes of practice. Therefore, there is still considerable room for improvement for businesses to reach higher standards of compliance.

The Food Standards Agency is driving a number of initiatives, working in partnership with local authorities, to improve compliance with hygiene legislation. This includes piloting a number of 'scores on the doors' schemes to develop a national approach to publishing information about how a food business performed at its last inspection. This is to enable consumers to make informed choices about where they eat. The Agency also provides targeted information and advice to small caterers / retailers about how to comply with new legislation. The results of this survey will be used to inform these and other initiatives and help to focus resources to have the greatest impact on the compliance figures.

When this data was analysed for England, Scotland, Wales and Northern Ireland separately, differences between the countries were found to be small, and may not be meaningful. However, for completeness this data is shown in Table 3.

Table 3. Overall assessment of hygiene procedures, by country

| Score | England | Scotland | Wales | Northern Ireland |
|-------|---------|----------|-------|------------------|
| 0 | 6.9% | 5.2% | 6.3% | 4.8% |
| 5 | 34.8% | 32.4% | 32.1% | 31.5% |
| 10 | 45.0% | 49.9% | 42.9% | 50.4% |
| 15 | 7.7% | 7.9% | 9.7% | 10.9% |
| 20 | 5.4% | 4.5% | 8.0% | 2.3% |
| 25 | 0.2% | 0.0% | 0.9% | 0.0% |

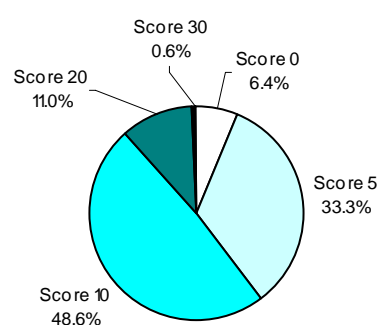
Note that each column adds up to 100% and discrepancies are because numbers have been rounded to 1 decimal place

Assessment of Overall Confidence in Management

EHPs also assessed the overall confidence in management of the food businesses maintaining compliant control systems in the future. This assessment followed the scoring in the inspection rating scheme under A5.3.3 (Part 3) of the Food Safety Act 1990 Code of Practice for England, and equivalent legislation in Scotland, Wales and Northern Ireland. The factors against which this is assessed include: the track re-

cord of compliance of the company; the attitude of the present management towards hygiene and food safety; the technical hygiene knowledge available to the company; and whether they have satisfactory documented procedures and food hygiene management systems based on HACCP principles. The results (see Figure 2) were similar to those shown for current compliance, with a figure of 12% of businesses scoring poorly and 49% of businesses having a satisfactory record of compliance, but with room for improvement.

Figure 2. Confidence in management / control systems



Note that numbers may not add up to 100% as they have been rounded to 1 decimal place

| Score | Guidance on the compliance scoring system |
|-------|--|
| 0 | Good record of compliance. Access to technical advice within organisation. Will have satisfactory documented HACCP-based food safety management system, which may be subject to external audit process. Audit by Food Authority confirms compliance with documented management system with few/minor non-conformities not identified in the system as critical control points. |
| 5 | Reasonable record of compliance. Technical advice available in-house or access to and use of technical advice from trade associations. Have satisfactory documented procedures and systems. Able to demonstrate effective control of hazards. Will have satisfactory documented food safety management system. Audit by Food Authority confirms general compliance with documented system. |
| 10 | Satisfactory record of compliance. Access to and use of technical advice either in-house or from trade associations. May have satisfactory documented food safety management system. |
| 20 | Varying record of compliance. Poor appreciation of hazards and control measures. No food safety management system. |
| 30 | Poor track record of compliance. Little or no technical knowledge. Little or no appreciation of hazards or quality control. No food safety management system. |

Details taken from Annex 5 of the Food Safety Act 1990 Code of Practice

As overall confidence includes an indication of whether satisfactory documentation of procedures is in place, Figure 2 also indicates that 40% of businesses fulfil this condition.

The results for England, Scotland, Wales and Northern Ireland are shown in Table 4 and again, the differences in these results are small, and may not be meaningful.

Table 4. Confidence in management, by country

| Score | England | Scotland | Wales | Northern Ireland |
|-------|---------|----------|-------|------------------|
| 0 | 6.7% | 6.1% | 4.6% | 4.4% |
| 5 | 34.5% | 32.4% | 27.7% | 24.7% |
| 10 | 47.4% | 49.9% | 51.5% | 58.4% |
| 20 | 10.7% | 11.2% | 14.5% | 11.8% |
| 30 | 0.6% | 0.4% | 1.7% | 0.6% |

Note that each column adds up to 100% and discrepancies are because numbers have been rounded to 1 decimal place

ASSESSMENT OF THE RISK TO PUBLIC HEALTH

This section addresses one of the key questions of this survey: the overall assessment of the risk to public health of a business. It should be emphasised that this was a subjective assessment for the purposes of this survey only, and as such there may have been some inconsistencies in interpretation. It does not relate to any nationally recognised standards, such as the Code of Practice. In particular, it is a separate assessment to the Risk Rating (A - E) given to businesses after inspection according to the Code of Practice.

Overall Assessment of the Risk to Public Health

Each of the premises inspected was evaluated in terms of the risk to public health. EHPs were asked to judge their assessment on the following scale:

1. *Negligible*
2. *Minor*
3. *Significant*
4. *Imminent*

In this analysis, premises have been grouped into two categories: those considered to present a 'low' risk (Negligible or Minor) and those that presented a 'high' risk (Significant or Imminent).

Approximately 7% of all the premises in the survey were considered by EHPs to present a high risk to public health (see Table 5).

The separate results for premises surveyed in England, Scotland, Wales and Northern Ireland are shown in Table 6, and the differences between the countries were small and may not be meaningful.

Table 5. Overall risk to public health

| Risk to public health | % of premises |
|-----------------------|---------------|
| 'Low' | |
| Negligible | 37.3% |
| Minor | 55.5% |
| 'High' | |
| Significant | 6.9% |
| Imminent | 0.3% |

Note that these results add up to 100% and discrepancies are because numbers have been rounded to 1 decimal place

Table 6. Overall risk to public health, by country

| Risk to public health | England | Scotland | Wales | Northern Ireland |
|-----------------------|---------|----------|-------|------------------|
| 'Low' | | | | |
| Negligible | 37.8% | 36.8% | 31.0% | 36.5% |
| Minor | 54.8% | 58.6% | 61.3% | 57.2% |
| 'High' | | | | |
| Significant | 7.1% | 4.5% | 7.7% | 5.8% |
| Imminent | 0.3% | 0.0% | 0.0% | 0.4% |

Note that each column adds up to 100% and discrepancies are because numbers have been rounded to 1 decimal place

The risk to public health is not evenly spread across different types of premises (as shown in Table 7). Caterers have the largest proportion of premises that were considered to present a high risk, with more than double the proportion of premises rated 'Significant' or 'Imminent' than any of the other types. It should also be noted that large food retailers have a smaller proportion of high risk premises than the other types. The breakdown of this data into results for England, Scotland, Wales and Northern Ireland is shown in Figure 3.

Table 7. Risk to public health by premises type

| Risk to public health | Manufacturer | Large retailer | Small retailer | Caterer |
|-----------------------|--------------|----------------|----------------|---------|
| 'Low' | | | | |
| Negligible | 52.3% | 50.6% | 35.1% | 30.0% |
| Minor | 43.7% | 47.1% | 69.9% | 58.5% |
| 'High' | | | | |
| Significant | 4.0% | 2.4% | 4.7% | 11.1% |
| Imminent | 0.0% | 0.0% | 0.3% | 0.3% |

Note that each column adds up to 100% and discrepancies are because numbers have been rounded to 1 decimal place

Figure 3. Risk to public health by premises type, by country



Assessment of Risk to Public Health in Caterers

The data for all catering establishments has been broken down into the different types of caterers, with the full data shown in Table 8.

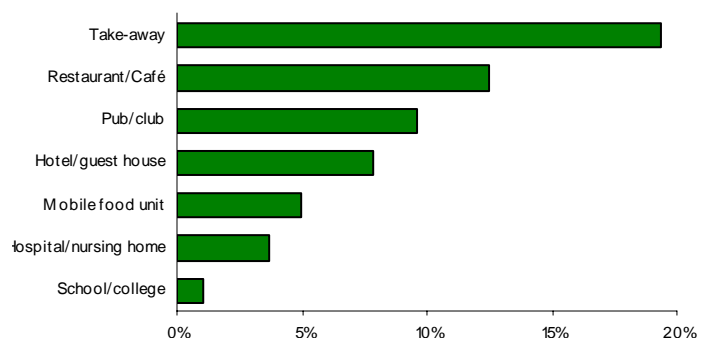
Table 8. Risk to public health in catering premises

| Premises type | Negligible | Minor | Significant | Imminent |
|-------------------------|------------|-------|-------------|----------|
| Take-away | 17.5% | 63.1% | 18.5% | 0.8% |
| Restaurant / cafe | 26.0% | 61.5% | 12.3% | 0.2% |
| Pub / club | 29.4% | 61.0% | 9.6% | 0.0% |
| Hotel / guest house | 31.9% | 60.3% | 7.9% | 0.0% |
| Mobile food unit | 28.4% | 66.7% | 5.0% | 0.0% |
| Hospital / nursing home | 47.5% | 48.8% | 3.3% | 0.3% |
| School / college | 61.2% | 37.8% | 1.0% | 0.0% |

Note that each row adds up to 100% and discrepancies are because numbers have been rounded to 1 decimal place

Figure 4 shows a summary of the percentage of premises considered to present a high risk to public health (i.e. the total percentage of premises rated as 'Significant' or 'Imminent' from Table 8) for each type of caterer. There is quite a wide variation in scoring between the different types, with almost 20% of take-aways rated as presenting a high risk, followed by restaurants/cafés (12%). In contrast, schools/colleges, hospitals/nursing homes and mobile food units had relatively small numbers of premises rated as presenting a high risk (less than 5% of each type).

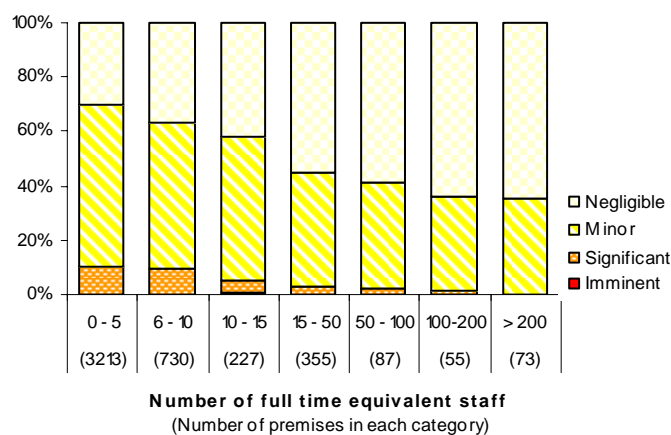
Figure 4. The percentage of 'high' risk caterers



Size of the Business and the Correlation with Risk to Public Health

In this section, information on the number of full-time-equivalent staff engaged in food handling is compared with the risk to public health. Size is an inherent feature of a business and one which it has limited or no control over.

Figure 5. Risk to public health by size of business



One of the first points to note from the data about the size of food businesses, shown in Figure 5, is that the majority of premises surveyed (67%) had 5 or fewer employees (full-time-equivalent staff).

Smaller businesses have the highest proportion of premises considered to present a high risk to public health ('Significant' or 'Imminent'). Businesses with 10 or fewer employees form 83% of the total number of businesses in Figure 5, but they account for 94% of the high risk group. Large businesses not only have a very small number of high risk premises but also have a greater number of premises rated as 'Negligible' than the other groups.

There are a number of possible explanations for the above results. Smaller business may have a higher turn-over of staff giving rise to problems of training, and also more restricted access to technical advice. On the other hand large businesses may have better technical resources, more resources for training staff, and in addition, most large manufacturers will have already introduced documentation based on HACCP principles into their management systems. Clearly to resolve this would need further investigation, but the results highlight the challenges to improve standards in small businesses, supporting the Agency's focus in "Safer Food Better Business" and other programmes.

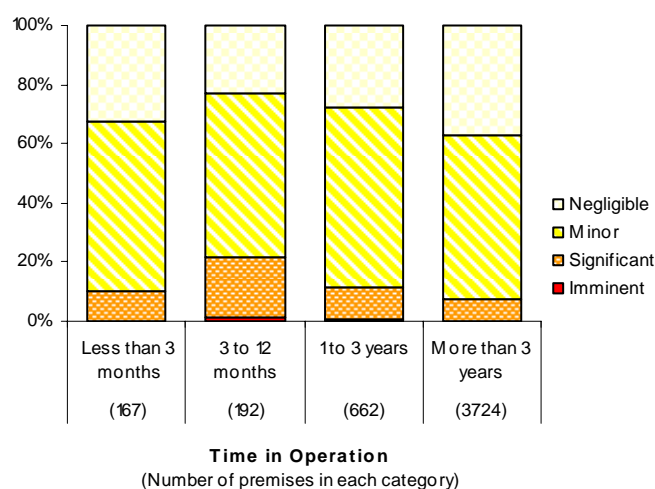
Time a Business has been Operation and the Correlation with Risk to Public Health

The majority of premises included in the survey had been in operation for more than 3 years (78%). There was a much smaller number that had been in operation for less time (less than 3 months 4%; 3 - 12 months 4%; 1 - 3 years 14% of premises surveyed).

The general trend in this data is that older businesses present a lower risk to public health (Figure 6). This could be attributed to businesses learning and increasing their awareness of food safety issues as they operate, possibly with advice from Environmental Health Departments.

The one exception to this trend is new businesses (less than 3 months in operation), which actually have a lower proportion of high risk premises than businesses in operation for 3 months to 1 year. This may be for a number of reasons. Newly opened premises, for example, probably have staff trained and the facilities are likely to be up to date. Also inspecting EHPs might spend more time giving a new business guidance. It indicates that the existing system for new businesses of registration and inspection might be difficult to improve on.

Figure 6. Risk to public health by the time the business has been in operation



FACTORS THAT CONTRIBUTE TO STANDARDS OF HYGIENE

EHPs were asked to assess standards in the premises' infrastructure (i.e. layout, lighting, ventilation, drainage, waste disposal), and also the facilities for controlling food hygiene (equipment, temperature controlled facilities, food washing and hand washing facilities, and use of protective clothing). These are factors that the business has direct control over. EHPs were also asked to assess the risk to public health from specific factors that managers and staff influence, such as general cleanliness. In addition, staff understanding of hygiene issues, the knowledge of management of hazards and the control systems in place were assessed.

Physical factors

The results in Table 9 show that a relatively high proportion (19%) of premises were considered by EHPs to have a low hygienic standard in the conditions of their infrastructure. This was measured according to the structural score in Part 2 of the Inspection rating scheme of the Food Law Code of Practice, and forms part of routine hygiene inspections. The assessment of adequacy of food hygiene facilities gave a variety of results, with almost 12% of businesses rated as having low standards for hand washing facilities (the category with the highest proportion rated as either 'basic but needs improving' or 'inadequate').

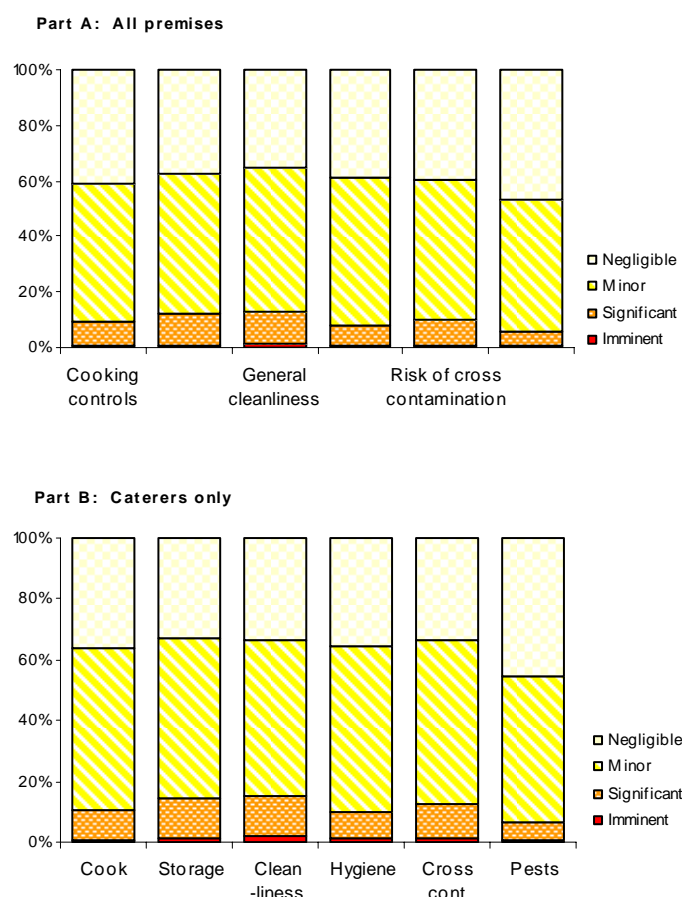
Table 9. Physical condition of premises and adequacy of facilities

| | Premises with a low standard* (% of all premises) |
|----------------------------|--|
| Overall physical condition | 19.0% |
| Hygiene facilities: | |
| Chilled / frozen storage | 6.9% |
| Suitable equipment | 5.4% |
| Food washing facilities | 4.9% |
| Hand washing facilities | 11.9% |
| Protective clothing | 8.6% |

*'Low standard' considered to be rated 15, 20 or 25 for overall physical condition, according to the Code of Practice, or either 'basic but needs improving' or 'inadequate' for facilities

Factors that affect food hygiene

Figure 7. Risk to public health from key hygiene factors



- 'Cook' - Controls to ensure thorough cooking
- 'Storage' - Time and temperature controls during storage and display
- 'Cleanliness' - General cleanliness
- 'Hygiene' - Staff personal hygiene
- 'Cross cont.' - Cross contamination
- 'Pests' - Pest infestation

It can be seen from Figure 7A that there is only a slight difference in the level of risk to public health from specific hygiene factors. The factors of general cleanliness and storage/display controls were more of a problem than the other four factors (although not significantly different from each other).

If the caterers are examined as a separate group (Figure 7B), the results follow this same general pattern, except that the levels of risk are a little higher across all the factors.

Knowledge of staff

When the food hygiene knowledge of staff was assessed, 57% of premises had staff whose knowledge of food handling was categorised as 'excellent' or 'good', 34% whose knowledge was categorised as 'satisfactory' and 9% categorised as 'poor' or 'very poor'. Note that this assessment was made only for the purposes of this survey, and does not relate to any national standards such as the Code of Practice.

Management systems

There were two questions dealing with awareness of the proprietor / manager of food safety hazards in their operation: one about identifying hazards; and one about control of the hazards. The results of these questions are shown in Table 10, from which it can be seen that 73% of businesses identified most or all hazards and 65% of businesses had full or good awareness of how these hazards are controlled.

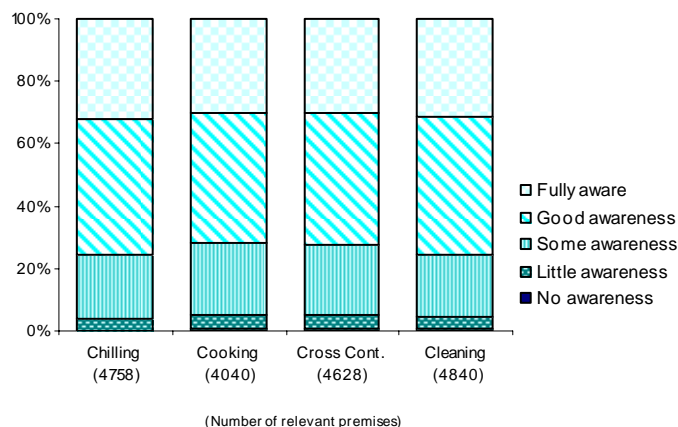
Table 10. Management of food safety hazards

| Extent to which hazards identified | | Extent of awareness of control of hazards | |
|------------------------------------|---------------|---|---------------|
| Rating | % of premises | Rating | % of premises |
| All hazards identified | 29.7% | Fully aware | 24.1% |
| Most hazards | 42.7% | Good awareness | 41.2% |
| Some hazards | 24.6% | Some awareness | 27.9% |
| No hazards | 3.0% | Little awareness | 6.0% |
| | | No awareness | 0.7% |

Note that each column adds up to 100% and discrepancies are because numbers have been rounded to 1 decimal place

Figure 8 shows the degree of manager awareness of controls for the 'Four Cs': chilling/cold chain maintenance; 'cooking' (heat/ holding/ retention); cross contamination; and cleaning. The 'Four Cs' framework was developed by the Agency for its Food Hygiene Campaign, a multi-media

Figure 8. Manager awareness of the food safety hazards in relation to controls for chilling, cooking, cross contamination and cleaning



programme to improve awareness of food hygiene issues. This framework was developed further by the Agency to create 'Safer Food, Better Business', the food safety management pack for small catering and retail businesses. Only those businesses that each of the Four Cs were relevant for have been included in the analysis (the total number of businesses for each factor is shown in brackets in Fig. 8). The results are very similar across the Four Cs and it is likely that if businesses have good controls in place for one of the factors, they have controls for all of them. There were 5% of businesses whose managers had little or no awareness of hazards in relation to cooking, cross-contamination or cleaning, and 4% with little or no awareness of hazards in relation to chilling. Across the four factors, approximately a further 21% of premises had managers who showed only some awareness of hazards.

APPENDIX A. DETAILS OF METHODOLOGY

The survey questionnaire was prepared by the Enforcement Division of the Agency, and was trialled before use with a local authority to ensure clarity and ease of filling out. The questionnaire and guidance notes were sent to every local authority in the UK (468 in total) via the Agency's e-mailing system.

The sampling plan to ensure coverage of the different types of premises (e.g. take-aways etc.) was based on estimates of the numbers in each category within the UK. This was because we do not hold complete information on the total number and distribution of different types of premises within the UK. Hence, when the questionnaire was distributed, local authorities were also asked to provide information on the actual number of premises in each category in their area. Unfortunately, very few authorities responded with actual premises data, so it was not possible to weight

the premises data together. This should be borne in mind when looking at the overall results.

Due to the way the survey was undertaken, premises with a higher Risk Rating (according to the Food Law Code of Practice) have been over-sampled. Local authorities were instructed to sample businesses that were due to have a *scheduled inspection* during the time of the survey (July - November 2005), rather than sampling from their complete list of *registered businesses*. This means that those premises that are inspected on a more frequent basis (usually because they have a higher Risk Rating) are over-represented in the sample. This will have given a bias to the data as these premises may be more likely to present a high risk to public health. The data was adjusted to correct for this bias by weighting the results according to the assumed inspection frequency, which was determined from the premise Risk Rating at the previous inspection. This adjustment made a small difference to the values for both the compliance data and overall risk to public health (Tables 5 & 6 only) and the adjusted values are given for those results in this report.

Correction for the bias was not applied to subsequent analyses (Table 7 and Fig. 3 onwards) comparing the risk to public health, or standards, of groups of premises within the population to each other. This is because: firstly, grouping types of premises together will often segregate premises with a high Risk Rating, for example; and secondly because once the data is broken down by type or various factors, the adjustment is increasingly complex.

APPENDIX B. FORMAL ENFORCEMENT ACTIONS FOR FOOD HYGIENE

The following actions were available to local authorities at the time of the survey, depending on the degree of non-compliance and the risk to public health:

- written warnings
- improvement notices
- remedial action notices/ detention notices (for approved premises only)
- voluntary closures
- food seizures, surrenders or detentions
- formal cautions
- emergency prohibition notices / orders
- prohibition order (prohibiting a proprietor of a food business)
- prosecution

Guidance on the level of action to take and when is laid down in the Food Safety Act 1990 Code of Practice for England, and equivalent legislation in Scotland, Wales and Northern Ireland.

UK Survey of Food Premises 2005

1. **Name of Local Authority**

2. **Local Authority Code** (as used on FSA Monitoring Return form) Form no.

PART A – Before the inspection

3. Type of food premises inspected: *(Tick one box only reflecting the main activity – see guidance notes)*

- Large food retailer selling some high risk foods (e.g. supermarkets, grocers etc)
- Small food retailer selling primarily open food (e.g. butchers)
- Food caterer
- Manufacturer / processor

4. **For food caterer only**, type of premises *(Tick one box only, reflecting main activity – see guidance notes)*

- | | | | | | |
|-------------------|--------------------------|-------------------------|--------------------------|------------------|--------------------------|
| Restaurant / café | <input type="checkbox"/> | Hotel / guest house | <input type="checkbox"/> | Pub / club | <input type="checkbox"/> |
| Take-away | <input type="checkbox"/> | Hospital / nursing home | <input type="checkbox"/> | School / college | <input type="checkbox"/> |
| Mobile food unit | <input type="checkbox"/> | | | | |

5. Food hygiene inspection risk rating prior to inspection as in Annex 5 of the Code of Practice *(Tick one box only)* A B C D product specific premises

6. Time business has operated from the premises *(Tick one box only)*

- | | | | |
|--------------------|--------------------------|-------------------|--------------------------|
| less than 3 months | <input type="checkbox"/> | 3 to 12 months | <input type="checkbox"/> |
| 1 to 3 years | <input type="checkbox"/> | more than 3 years | <input type="checkbox"/> |

7. Period since last 'primary' food hygiene inspection *(Tick one box only)*

- | | | | | | |
|---------------------|--------------------------|---------------------|--------------------------|-----------------|--------------------------|
| Less than 12 months | <input type="checkbox"/> | 12 to 18 months | <input type="checkbox"/> | 18 to 24 months | <input type="checkbox"/> |
| 24 to 36 months | <input type="checkbox"/> | more than 36 months | <input type="checkbox"/> | | |

8. Period since last visit of any kind to the premises *(Tick one box only)*

- | | | | | | |
|---------------------|--------------------------|---------------------|--------------------------|-----------------|--------------------------|
| Less than 12 months | <input type="checkbox"/> | 12 to 18 months | <input type="checkbox"/> | 18 to 24 months | <input type="checkbox"/> |
| 24 to 36 months | <input type="checkbox"/> | more than 36 months | <input type="checkbox"/> | | |

9. What action was taken at / after the last primary inspection? *(Tick any that apply)*

- | | | | |
|--|--------------------------|---|--------------------------|
| Hygiene award (or equivalent) | <input type="checkbox"/> | Follow-up visit | <input type="checkbox"/> |
| Letter with recommendations of best practice | <input type="checkbox"/> | Written advice re legal contraventions | <input type="checkbox"/> |
| Satisfactory report / oral advice | <input type="checkbox"/> | Formal caution | <input type="checkbox"/> |
| Satisfactory report / no action | <input type="checkbox"/> | Voluntary closure | <input type="checkbox"/> |
| EPN | <input type="checkbox"/> | Suspension or revocation of approval / licence | <input type="checkbox"/> |
| Improvement notice | <input type="checkbox"/> | Prosecution (report to Procurator Fiscal in Scotland) | <input type="checkbox"/> |

PART B – Information from the premises inspection

Numbers employed

10. Approximate number of full-time equivalent staff engaged in food handling?

Physical condition of the premises

11. Overall assessment of the cleanliness, layout, structure, lighting, ventilation, drainage, waste disposal facilities etc.

(Enter 'structural' score as in Part 2 of Inspection rating scheme, i.e. 0, 5, 10, 15, 20 or 25)

Food hygiene facilities and risks

12. Assessment of the adequacy of the facilities

(Enter 1 for excellent; 2 for good; 3 for adequate; 4 for basic but needs improving; 5 for inadequate or 0 for not applicable)

(a) Suitable and sufficient chilled / frozen storage facilities.....

(b) Equipment suitable for purpose

(c) Food washing facilities.....

(d) Hand washing facilities

(e) Use of protective clothing.....

13. Assessment of the risk to public health from the following:

(Enter 1 for negligible; 2 for minor; 3 for significant; 4 for imminent; 5 for not applicable)

(a) Controls to ensure thorough cooking

(b) Time and temperature controls during storage and display

(c) General cleanliness (e.g. of premises, equipment, crockery etc).....

(d) Staff personal hygiene

(e) Risk of cross contamination

(f) Pest infestation

14. Assessment of the food hygiene knowledge/competence of food handling of the food handling staff (*Tick one only*)

Excellent Good Satisfactory
Poor Very poor

Procedures to manage food safety

15. To what extent has the proprietor/manager identified the food safety hazards in their operation?

(Enter 1 for all hazards identified; 2 for most identified; 3 for some identified; 4 for none identified)

16. To what extent is the proprietor/manager aware how these hazards are controlled in their operation?

(Enter 1 for fully aware; 2 for good awareness; 3 for some awareness; 4 for little awareness; 5 for no awareness)

17. To what extent is the proprietor/manager aware of the food safety hazards which may arise if appropriate controls are not applied in relation to:

(Enter 1 for fully aware; 2 for good awareness; 3 for some awareness; 4 for little awareness; 5 for no awareness; N/A if not applicable)

Chilling / cold chain maintenance Cross contamination Cleaning

Heat / holding / retention

18. Has appropriate corrective action been taken by the business when things have gone wrong? Yes No N/A In-progress
19. What is the adequacy of the businesses voluntary documentation of procedures / evidence for producing food safely?
(Enter 1 for more than adequate; 2 for adequate; 3 for inadequate; 4 for no documentation)
20. What is the adequacy of the evidence kept indicating that these procedures are followed in practice?
(Enter 1 for more than adequate; 2 for adequate; 3 for inadequate; 4 for no documentation)
21. Overall assessment of current food hygiene and safety procedures including food handling practices, procedures and temperature control?
(Enter 1 score as in Part 3 of the inspection rating scheme i.e. 0, 5, 10, 20 or 25)
22. Over all confidence in management maintaining compliant control systems in future?
(Enter 1 score as in Part 3 of inspection rating scheme, i.e. 0, 5, 10, 20 or 30)
- Overall assessment of risk to public health**
23. What is your overall assessment of the risk to public health?
(Enter 1 for negligible; 2 for minor; 3 for significant; 4 for imminent)

PART C – Action after the inspection

Inspection rating post inspection

24. Food hygiene inspection risk rating after the inspection as in Annex 5 of the Code of Practice: (Tick one box only) A B C D E product specific premises

Action to be taken following the inspection

25. What action is to be taken? (Tick any that apply)
- | | | | |
|--|--------------------------|--|--------------------------|
| Hygiene award (or equivalent) | <input type="checkbox"/> | Follow-up visit | <input type="checkbox"/> |
| Letter with recommendations of best practice | <input type="checkbox"/> | Written advice re legal contraventions | <input type="checkbox"/> |
| Satisfactory report / oral advice | <input type="checkbox"/> | Formal caution | <input type="checkbox"/> |
| Satisfactory report / no action | <input type="checkbox"/> | Voluntary closure | <input type="checkbox"/> |
| EPN | <input type="checkbox"/> | Suspension or revocation of approval / licence | <input type="checkbox"/> |
| Improvement notice | <input type="checkbox"/> | Prosecution (report to Procurator Fiscal in Scotland) | <input type="checkbox"/> |

Please send the completed form in to the Agency as the forms are completed by your authority as part of this survey to:

**Enforcement Division
Food Standards Agency
Aviation House
125 Kingsway
London WC2B 6NH**

Thank you for your help with this survey

Introduction

1. The purpose of this survey is to capture information relating to food hygiene standards in the main types of food premises subject to Local Authority food hygiene inspections. It will provide information about the facilities and procedures to manage food safety based risks. It is proposed that the survey will be carried out at regular intervals so that trends can be analysed over time. Ultimately, this information should help to help inform decisions by the Agency and Local Authorities to improve and drive up standards.
2. The success of this initiative is heavily dependant on all Local Authority Environmental Health Departments taking part in the survey, so your support is important to us. It has been designed so that it can be undertaken as part of the normal programme of food premises inspection work and the survey questionnaire has been piloted by a selection of LAs to ensure that it is easy to use. However, if you have any questions, please do not hesitate to telephone Enforcement Division on 020 7276 8000 for help and advice. Your co-operation and participation is very much appreciated.

Time period for the survey

3. LAs are asked to carry out the survey within the 4 month survey period. The deadline for returns is 31 October 2005.

Number and type of premises to include in the survey

4. LAs are asked to complete a survey form for twenty premises. These should consist, where practically possible of:

| | |
|---|---|
| Food Manufacturers (a total of 2) | One large |
| | One small |
| Caterers (a total of 12 premises from the following categories) | At least three restaurants |
| | One hotel or guest house |
| | One pub or club |
| | At least three takeaways |
| | One hospital or nursing home |
| | One college or school |
| | One mobile food unit |
| Retailers (a total of 6 premises from the following categories) | Three supermarkets / hypermarkets |
| | Three small retailers (including corner shops, bakers, butchers and fish mongers) |

Do not include low risk premises i.e. category E or F in the old code or category E under the new code.

Some local authorities may not have all of the categories of premises within their area or they may not have sufficient numbers in a particular category. If this is the case, complete a smaller survey reflecting the type and number of premises in your area.

Random selection of premises

5. It is essential that the premises included in the survey are selected at random. The method by which you should select the premises needs to be consistent to allow meaningful results, so please follow the procedure outlined below. A date within the survey period should be chosen when your authority is to start work on the survey. A list of programmed inspections due from that date should then be produced. From that list the food team manager should select every 3rd premises for inclusion in the survey until one premises has been selected for each of the above types of premises. Where this process does not provide one premises of each, please complete a smaller survey reflecting the premises in your area. Finally, please note that premises rated as category E or F under the old Codes of Practice, and category E under the new Code should not be included in the survey as these premises may be subject to alternative enforcement strategies and therefore not subject to primary inspections.

Completion of the Survey Form

6. The survey form has been designed so that it can be completed as an integral part of a programmed food hygiene inspection. The forms may be completed by any number of officers from an LA. No additional visits to food premises will be needed.
7. The form can be divided into 3 parts:
 - details about the LA and Part A, requiring general information from file records. This should be completed prior to the inspection.
 - Part B, on information from the inspection, which should be completed at or shortly after the Inspection.
 - Part C, action following the inspection, which should be completed after the inspection.

8. Most questions on the form require a numerical score to be inserted into an answer box. Advice on the range of scores for each question and their meanings are given on the form in italicised text. Unless otherwise stated on the form, you should select one score only in response to each question.
9. Where possible, the range of scores for certain questions (No. 11, 21 and 22) have been linked to the assessments which will need to be made under the Code of Practice Inspection Rating Scheme.
10. Question 5 asks for the current inspection risk rating of the premises under Annex 5 of the Code of Practice. However, particularly in the first year of the survey, the current inspection risk rating may have been based on the old Codes. This should not generally be a problem and the appropriate box should be ticked. However, in the case of an approved product specific premises, please tick the "product specific premises" box only.
11. Questions 7 and 9 refer to the 'primary inspections' as defined in Section 4 of Code of Practice. Particularly in the first year of the Survey the last inspection of the premises may have been carried out under the old Code. Where this is the case, please refer back to the last programmed inspection of the premises in answering questions 7 and 9.

What will FSA do with the results?

12. The Agency will input information from the returns onto a database from which we will be able to produce summary reports of the findings for individual categories of food business and for all types of business covered in the survey. Summaries will also be produced on a UK basis for England, Scotland, Wales and Northern Ireland.
13. This summary information will be discussed with stakeholder groups and will be published along with any conclusions that can be drawn about hygiene standards within the random sample of food businesses on the Agency website: (www.food.gov.uk)
14. Given that the purpose of the Survey is to draw general conclusions about hygiene standards, the analysis and publication of survey data will be on an anonymous basis. There will be no assessment of individual premises, local authorities or officers.

Return of survey forms to the Agency

15. LAs are asked to return survey forms as they are completed or as a batch, to Enforcement Division, Food Standards Agency, Aviation House, 125 Kingsway, London, WC2B 6NH. LAs are asked to keep copies of the forms in case the Agency needs to clarify details on the survey. The latest deadline for return of the form is 31 October 2005.
-

Definitions of premises categories

For the purpose of this survey the premises categories are defined by the description below. Some premises may span two definitions, the definitions below allocate the premises to the category which represents the main source of income for the business.

Restaurant / Café / Canteen:

A premises offering to cook / prepare food for the customers to be consumed on the premises, with a seating area. This category includes work place canteens, cafés and self-service catering premises.

Hotel / Guest house:

Premises that provide catering only to customers to which they are also providing overnight accommodation. This category includes bed and breakfast establishments. Please note, hotels providing a restaurant service to a wider clientele than their guests, should be entered under the restaurants category.

Pub / Club:

A commercial premises whose primary business is to sell alcohol in a public bar, but which also provides catered meals on the premises. If the pub has separate restaurant facilities it should be allocated to the pub category.

Take-away:

An establishment that provides convenience food to customers primarily for consumption off the premises. Premises must be immobile and housed within a designated building. For example fish and chip shops, sandwich bars and Chinese or Indian takeaways.

Hospital / Nursing home:

Premises where catering services are being provided for customers who are in residence and are being provided with medical treatment or assistance. For example care homes and facilities for the elderly; hospitals and residential care facilities.

School / college:

A catering premises, located within a site providing educational instruction and formal qualifications. The premises should be associated with local education authority possibly through a catering contract.

Mobile food unit:

A food premises whose premises including the kitchen, is not housed in a permanent building structure. The entire catering facilities (kitchen etc) must be capable of moving geographic location. For example burger vans and mobile catering units.

Supermarket / Hypermarket:

A retail outlet providing a range of goods from more than one grocery sector and from a range of brands. The premises included in this sector should be a member of one of the large chains of retailers, such as Sainsburys, Tesco, Asda, Morrison, Co-op, Marks & Spencer, Waitrose and Budgens. Metro, Central or Extra, city centre derivatives of the larger super market groups should also be included in this category.

Small retailers:

Premise to be included in this category will be grocers and food shops that are a small-scale food business. For example butchers, bakers, fishmongers, village shops or grocers. Independent retailers such as Cost Cutter; One Stop, All Days and Premier are to be included in this category.

