

**HOME AUTHORITY PRINCIPLE, ADVICE TO BUSINESS AND  
FOOD/FEEDING STUFFS SAFETY AND STANDARDS  
PROMOTION**  
**[June 2005]**

***FOOD LAW ENFORCEMENT AUDIT PROTOCOLS***

[NOTE: These protocols have been developed specifically for focused audits on the Home Authority Principle, Advice to Business and Food/Feeding Stuffs Safety and Standards Promotion.]

# Contents

<b>Protocol</b>	<b>Title</b>	<b>Page</b>
<b>1</b>	<b>Organisation and Management (The Standard paragraph 3)</b>	<b>3</b>
	<b>• Points to Raise at Audit</b>	<b>5</b>
<b>2</b>	<b>Food, Feeding Stuffs and Food Premises Complaints (para. 8)</b>	<b>6</b>
<b>3</b>	<b>Home Authority Principle (para. 9)</b>	<b>7</b>
<b>4</b>	<b>Advice to Business (para. 10)</b>	<b>10</b>
<b>5</b>	<b>Food and Feeding Stuffs Inspection and Sampling (para. 12)</b>	<b>13</b>
<b>6</b>	<b>Records and Inspection Reports (para. 16)</b>	<b>15</b>
<b>7</b>	<b>Complaints about the Service (para. 17)</b>	<b>16</b>
<b>8</b>	<b>Liaison with Other Organisations (para18)</b>	<b>18</b>
<b>9</b>	<b>Internal Monitoring (para. 19)</b>	<b>20</b>
<b>10</b>	<b>Third Party or Peer Review (para. 20)</b>	<b>22</b>
<b>11</b>	<b>Food and Feeding Stuffs Safety and Standards Promotion (para. 21)</b>	<b>24</b>

**(HAP/1) Organisation and Management [The Standard – para. 3]**

3.3 The Authority shall draw up, document and implement a service delivery plan in accordance with the Service Planning Guidance in Chapter 1 of the Framework Agreement

3.3 A performance review shall be carried out by the Authority at least once a year based on the service delivery plan, documented and submitted for appropriate member approval.

3.3 Any variance in meeting the service delivery plan shall be addressed in the subsequent year's service arrangements.

<b>Question</b>	<b>Answer</b>	<b>Comments/Evidence</b>	<b>Auditors' Notes</b>
Does the Authority (LA) have a service plan?	Yes/No	Document review/PVQ	<i>The service plan should be provided prior to the visit.</i>
<b>Does the Plan address:</b>			
a) A statement of the LA's policy on the Home Authority Principle;	Yes/No		<i>This should include an estimate of the resources required for acting as HA/OA and responding to enquiries.</i>
b) A statement of the LA's policy on advice to business, and likely demand;	Yes/No		<i>This should include an estimate of the number of contacts from businesses and the resources necessary.</i>
c) A statement of the LA's food and feeding stuffs safety and standards promotional activity;	Yes/No		<i>This should include measures used to evaluate effectiveness and an estimate of resource allocation.</i>
d) Financial allocation;	Yes/No		
e) Staffing allocation;	Yes/No		<i>This should include details of the number of staff working on food law enforcement and related matters (as FTEs).</i>
Has the Authority undertaken an annual review of their performance?	Yes/No	Document review/PVQ	<i>The auditor should look for a documented review of Service activity.</i>

Question	Answer	Comments/Evidence	Auditors' Notes
Was there anything in the review specifically relating to: <ul style="list-style-type: none"> <li>• Home Authority work</li> <li>• Advice to Business</li> <li>• Promotion</li> </ul>	Yes/No Yes/No Yes/No	Document review/PVQ Detail:	
Were there any reports to Members on: <ul style="list-style-type: none"> <li>• Home Authority work</li> <li>• Advice to Business</li> <li>• Promotion</li> </ul>	Yes/No Yes/No Yes/No	Document review/PVQ	

**Documents:** BVPP (appropriate sections), service plan, performance review.

**Statistics:** Service budget, no. of staff, no. of full time equivalents.



**(HAP/2) Food, Feeding Stuff and Food Premises Complaints [The Standard - para. 8]**

- 8.1 The Authority shall set up, maintain and implement a documented policy and procedure(s) in relation to food and feeding stuffs complaints that originate within the UK, and those foods and feeding stuffs originating from other EU member states, or from third countries and in relation to complaints against food premises. Procedures should cover any referral arrangements to inland authorities and/or authorities with responsibility for imported food and feeding stuffs controls at the UK point of entry.
- 8.2 The Authority shall investigate complaints received in accordance with the Food Safety Act Code of Practice, centrally issued guidance and the Authority's policies and procedures.
- 8.3 The Authority shall take appropriate action on complaints received in accordance with the Authority's enforcement policy.

Question	Answer	Comments/Evidence	Auditors' Notes
Does the Authority have a policy on the investigation of food, food premises and feeding stuffs complaints?	Yes/No	Document review/PVQ	<i>The policy may include specific reference to the Home Authority Principle or Advice to Business.</i>
Does the Authority have procedure(s) on the investigation of complaints?	Yes/No	Document review/PVQ	
<b>Do the procedures include:</b>		Document Review	<i>LACORS' 'Guidance on Food Complaints (2)'</i>
• Involvement of home or originating authority (beginning and end of investigation);	Yes/No		
• Referral arrangements to inland LAs re: imported foods (where appropriate)	Yes/No		
Does the Authority have the ability to identify home and originating authorities?	Yes/No	Audit check Detail:	
Are the procedures implemented – has appropriate follow-up action been taken on all complaints?	Yes/No	Checklist M	

**Documents:** Complaints policy, service plan, complaints procedures.

**(HAP/3) Home Authority Principle [The Standard - para. 9]**

- 9.1      The Authority shall provide advice to businesses on legal compliance where they act as home and/or originating authority.
- 9.2      The Authority shall have regard to any information or advice it has received from any liaison with home and/or originating authorities.
- 9.3      The Authority shall liaise with the home and/or originating authority of a company whose premises have been inspected and offences identified which are, or appear to be, associated with the company's centrally defined policies and procedures.
- 9.4      During a complaint investigation, the Authority shall liaise with the home and/or originating authority regarding matters which are or may be associated with the company's centrally defined policies or procedures.
- 9.5      The Authority shall liaise with the home and/or originating authority of a company in relation to any unsatisfactory samples which are or may be associated with the company's centrally defined policies or procedures.
- 9.6      The Authority, having initiated liaison with any home and/or originating authority, shall notify that authority of the outcome.

Question	Answer	Comments/Evidence	Auditors' Notes
Does the LA support the Home Authority Principle?	Yes/No	Document Review	<i>This policy statement should be within the Authority's service plan.</i>  <i>A Food Authority that is unable to adopt, implement, or adhere to the Home Authority Principle must firstly discuss the matter with LACORS and, if the matter cannot be resolved, with the Agency. [CP – 1.1.7]</i>
How has the LA identified businesses with decision making bases in their area?		Officer interviews Detail:	
Do the following procedures make reference to the Home Authority Principle: <ul style="list-style-type: none"> <li>• General Premises</li> <li>• Approved Premises</li> </ul>	Yes/No Yes/No		<i>The procedures may include reference to bringing forward an inspection on receipt of a HA referral [CP – 4.1.6]. Deficiencies in health marking identified on inspection may refer to involving the HA/OA. [CP-4.2.4]</i>

Question	Answer	Comments/Evidence	Auditors' notes
Has the LA been asked to act as Home Authority for any local businesses?	Yes/No	Document review/Officer interviews Detail:	
Does the LA act as Home Authority for any local food businesses?	Yes/No	Document review/Officer interviews/Audit check Detail: Checklist X and Y	<i>Auditors should identify those businesses for which the LA acts as Home Authority. If the LA has written home authority agreements, copies should be examined.</i>
Has the Authority followed up referrals made to it by other LAs?	Yes/No	Officer interviews/Audit check Checklist X and Y Detail:	<i>Auditors should check a number of Home Authority records. It should be clear that the Authority has appropriately investigated referrals in accordance with their policy and agreed in writing any corrective action required by the company and a closing date by which the action should be taken.</i>
What level of assistance is offered to other authorities on relevant businesses for which the Authority is home/originating authority?		Document review/Audit check Detail:	
If applicable, how does the Home/Originating Authority liaise with other Home/Originating Authorities that have businesses that are linked?			<i>Auditors should identify any Home Authority/Originating Authority businesses that have food operations carried out in other LA areas and whether any liaison takes place between all these Authorities.</i>

Question	Answer	Comments/Evidence	Auditors' notes
How does the Authority ensure that officers liaise with Home or Originating Authorities?		Audit check Detail:	
Is there evidence that the policy on the Home Authority Principle is followed?	Yes/No	Checklist X and Y	
How does the LA notify LACORS of home authority arrangements?		Audit check/Officer interview Detail:	
Is the LACORS website up to date?			
Has the Authority ensured that potential or actual conflicts of interest do not arise?	Yes/No		<i>Food Authorities should ensure that potential or actual conflicts of interest do not arise as a result of home or originating authority responsibilities and contracting in services for enforcement purposes.[C.P-1.3.2]</i>
How is the Home Authority work monitored?		Checklist X and Y Audit check/Officer Interview Detail:	

**Documents:** Examples of any home authority agreements, list of HA businesses from LACORS website and list of HA businesses from the LA.

**Statistics:** Numbers of home authority premises.

**(HAP/4) Advice to Business [The Standard - para. 10]**

10.1 The Authority shall work with businesses to help them comply with food and feeding stuffs legislation. For example this may include:

- running training courses/seminars;
- on the spot advice during routine visits and inspections;
- the provision of advice lines;
- Business Information Sheets;
- responding to queries; and
- dialogue with business through local business partnerships or similar forum.

Question	Answer	Comments/Evidence	Auditors' Notes
Does the Authority work with businesses to help them comply with relevant food law?	Yes/No	Detail of action and evidence:	<p><i>Auditors will need to verify any initiatives as far as is practicable. If advice is given it must be accurate and reflect current practice.</i></p> <p><i>Auditors should check any in-house produced leaflets/advice.</i></p> <p><i>A reality check using the business structured questions should be carried out, contacting 5 businesses.</i></p> <p><i>Auditors may check to see if there is a budget allocation for this work. Agendas and minutes of any meetings held with businesses may be required.</i></p> <p><i>Auditors should also check records of any evaluations of advisory activities.</i></p> <p><i>Auditors should also check any information or advice to Business on alternative enforcement strategies if available/applicable.</i></p>

Question	Answer	Comments/Evidence	Auditors' Notes
What was the Authority's rationale and methodology for carrying out any advisory initiatives?		Detail:	<p><i>Auditors should explore why a particular issue was chosen, how any target group was selected and were they involved in development of the initiative.</i></p> <p><i>Auditors should also check how the method of intervention was selected, whether organisational strengths/weaknesses and any barriers were identified and addressed, whether a pilot exercise was carried out and whether it was a one off activity or an on going initiative.</i></p>
Does the Authority have an enforcement policy?	Yes/No		
Does the Authority's enforcement policy cover all enforcement options including advice/education? [CP-3.1.4]			
Was any advice to business accurate and appropriate?		Checklists X and Y	
Has the Authority ensured that potential or actual conflicts of interest do not arise?	Yes/No		<p><i>Food Authorities should ensure that their officers are aware of potential conflicts of interest that may arise in an enforcement situation through promotion of the Food Authority's services.</i></p> <p><i>Food Authorities should ensure that potential or actual conflicts of interest do not arise as a result of home or originating authority responsibilities and contracting in services for enforcement purposes.</i></p> <p><i>Food Authorities and their officers should avoid promoting the Food Authority's services exclusively if other providers of those services exist in the area.</i></p> <p><i>Pest control and food hygiene training are examples of Food Authority services that may be provided in competition with those supplied by other organisations. [CP – 1.3.2]</i></p>

Question	Answer	Comments/Evidence	Auditors' Notes
Has the Authority sought funding from outside on: <ul style="list-style-type: none"> <li>• FSA food hygiene initiatives</li> <li>• SFBB</li> </ul>	Yes/No Yes/No	PVQ/audit check	<i>If not, auditors should probe why the LA has not sought additional funding.</i>
Has any evaluation of advisory work been carried out?		Auditor check Detail:	<i>Auditors should consider how and whether the LA effectively measured success, progress and value for money.</i>

**Documents:** Enforcement policy, Examples of any unique advisory letters or leaflets, minutes of any business liaison meetings, outcomes of consultation, budget allocation, any evaluation documents.

**(HAP/5) Food and Feeding Stuffs Inspection and Sampling [The Standard- para. 12].**

**[NB: Formal enforcement actions carried out following inspection/sampling also covered by para. 15 of The Standard 'Enforcement']**

- 12.1 The Authority shall ensure that food and feeding stuffs are inspected in accordance with relevant legislation, Food Safety Act Codes of Practice and centrally issued guidance to ensure that food and feeding stuffs meet legally prescribed standards.
- 12.2 The Authority shall take appropriate action on any non-compliance found in accordance with the Authority's enforcement policy.
- 12.3 The Authority shall set up, maintain and implement documented procedures for the inspection of food and feeding stuffs.
- 12.4 The Authority shall set up, maintain and implement a documented sampling policy and programme that shall accord with any centrally issued or relevant guidance, and relevant Food Safety Act Code of Practice and shall include reference to its approach to any relevant national sampling programme centrally co-ordinated by the Food Standards Agency.

NOTE: The Authority should consider the nature of its food and feeding stuffs establishments, and where applicable the nature of imported foods and feeding stuffs, and also have regard to any relevant sampling programme centrally co-ordinated by LACORS and the HPA and in Scotland, SFELC (the Scottish Food Enforcement Liaison Committee), in Wales the Welsh Food Microbiological Forum and in Northern Ireland, the Public Health Laboratory.

- 12.5 The Authority shall set up, maintain and implement documented procedures for the procurement or purchase of samples, continuity of evidence and the prevention of deterioration or damage to samples whilst under their control in accordance with the relevant Food Safety Act Code of Practice and centrally issued guidance.
- 12.6 The Authority shall carry out sampling in accordance with its documented sampling policy, procedures and programme.
- 12.7 The Authority shall take appropriate action in accordance with its enforcement policy where sample results are not considered to be satisfactory.
- 12.8 The Authority shall, where appropriate, ensure a Public Analyst, and/or Agricultural Analyst is appointed to carry out examinations and analyses of food and feeding stuffs samples. In making these appointments all relevant legal requirements and Food Safety Act Codes of Practice shall be satisfied. All samples for examination should be submitted to a Food Examiner at a laboratory accredited for the purpose of examination.

Question	Answer	Comments/Evidence	Auditors' Notes
Does the Authority have a documented sampling policy? [CP – 6.1.2]	Yes/No	Document review/PVQ	Auditors will need to take account of the LA's range of responsibilities when assessing the completeness of the sampling policy, procedures and programme e.g. specific imported food/Approved Premises responsibilities.
<b>If YES, does the sampling policy take into account:</b>			
• Home Authority work?	Yes/No		<i>The Policy should take account of the Authority's approach in general terms and in specific situations such as Home Authority Principle. [CP-6.1.2]</i>

Question	Answer	Comments/Evidence	Auditors' Notes
Does the Authority have a sampling procedure?	Yes/No		
<b>If YES, does the sampling procedure cover:</b>		Document review	
<ul style="list-style-type: none"> <li>Home Authority Principle? Work?</li> </ul>	Yes/No		<i>The procedure should refer to action to be taken on unsatisfactory samples and HA referrals where appropriate [CP-6.1.5.3 and 6.1.6.1]</i>
Does the LA have a documented sampling programme? [CP – 6.1.2]	Yes/No	Document review/PVQ	
Where applicable, are Home Authority premises included in the programme?	Yes/No		
Has appropriate action followed sample results that were not considered satisfactory?	Yes/No	Checklist N	<i>The auditor will need to examine records of sampling activity. Where samples have been unsatisfactory, the premises files/interviews with officers should establish whether appropriate action has been taken. The PA/FE reports will give an indication whether the food met legal requirements and if further investigation was necessary.</i>
Where appropriate, have the results been referred to the Home Authority/Originating Authority?	Yes/No		
Was any advice to business accurate and appropriate?	Yes/No	Checklist N	

**Documents:** sampling policy, sampling procedures, sampling programmes (current and last year's).

**(HAP/6) Records and Inspection Reports [The Standard - para. 16]**

- 16.1 The Authority shall maintain up to date accurate records in retrievable form for all food and feeding stuffs premises in its area and relevant checks on imported food and feeding stuffs in accordance with the relevant Food Safety Codes of Practice. These records shall include reports of all inspections and visits and the determination of compliance with legal requirements made by the authorised officer, details of action taken where non compliance was identified, details of any enforcement action taken, results of any sampling, details of any complaints and any action taken, and also relevant food and/or feeding stuffs registration, approval and licensing information.
- 16.2 All records shall be kept for at least 6 years, unless they have been marked for longer retention because of litigation or Local Government Ombudsmen review.

<b>Question</b>	<b>Answer</b>	<b>Comments/Evidence</b>	<b>Auditors' Notes</b>
Are records of food premises easily retrievable?	Yes/No	Audit check/Checklists M, N, X and Y	
Are there records of <ul style="list-style-type: none"> <li>• Home Authority work</li> <li>• Advice to Business</li> <li>• Promotion</li> </ul>	Yes/No Yes/No Yes/No	Checklists M, N, X and Y	<i>Details may be on computer databases and/or paper files. If available, auditors to run a report on:</i> <ul style="list-style-type: none"> <li>• <i>HA/OA referrals</i></li> <li>• <i>Advice to Business</i></li> <li>• <i>Promotional work including numbers of referrals/ requests for Service and visits</i></li> </ul>
Are records for Home Authority work adequate on: <ul style="list-style-type: none"> <li>• Premises files</li> <li>• Complaints</li> <li>• Samples</li> </ul>	Yes/No Yes/No Yes/No		
Are records for advice adequate on: <ul style="list-style-type: none"> <li>• Premises files</li> <li>• Complaints</li> <li>• Samples</li> </ul>	Yes/No Yes/No Yes/No		
Are adequate records maintained for promotional work?	Yes/No		

**Documents:** database reports

**(HAP/7) Complaints About the Service [The Standard - para. 17]**

- 17.1 The Authority shall set up, maintain, implement and make readily available to the public and the food and feeding stuffs businesses in its area, a documented complaints procedure regarding complaints about the service.
- 17.2 The Authority shall investigate complaints received in accordance with the relevant centrally issued guidance.
- 17.3 A record shall be made of all complaints received and of the actions taken by the Authority in response to those complaints.

Question	Answer	Comments/Evidence	Auditors' Notes
Does the Authority have a documented complaints procedure?	Yes/No	Document Review (PVQ B11)	<i>This complaint procedure need not be separate to any Authority wide procedure provided under the Enforcement Concordat.</i>
Is it readily available to the public and to business?	Yes/No	Audit check Detail:	<i>Auditors should request a leaflet or explanation of how to complain from the LA reception. The Authority may also have publicised its procedure in leaflets sent to homes and business.</i>
Does the Authority keep a record of complaints made?	Yes/No	Audit check	
Does the Authority keep a record of actions taken in response to complaints made?	Yes/No	Audit check	

Question	Answer	Comments/Evidence	Auditors' Notes
Have there been any complaints made about Home Authority work, Advice to Business or Food/Feed Safety and Standards Promotion within the Service over the last 2 years?  If YES, were they properly investigated?	Yes/No  Yes/No	Audit check/Officer interview	

**Documents:** Complaints procedure and public leaflet.

**(HAP/8) Liaison with Other Organisations [The Standard - para. 18]**

18.1      The Authority shall put in place liaison arrangements with neighbouring authorities and any other appropriate body aimed at facilitating consistent enforcement in accordance with the relevant Food Safety Act Code of Practice and centrally issued guidance.

Question	Answer	Comments/Evidence	Auditors' Notes
Does the LA have liaison arrangements in place with other local authorities?	Yes/No	Audit check Detail + evidence:	<p><i>Liaison arrangements are likely to be via food liaison groups/County Trading Standards groups/Association of Port Health Authorities. The Authority's arrangements should be detailed in their service plan.</i></p> <p><i>Lead food officers of District and County Council Food Authorities should ensure that effective day-to-day liaison arrangements between their respective authorities are in place, documented and operating satisfactorily. [CP – 1.1.2]</i></p>
Does the LA have liaison arrangements in place with other relevant bodies?	Yes/No	Audit check Detail + evidence:	
If applicable, does the LA have liaison arrangements in place between HA/OAs for the same business?	Yes/No	Audit check Detail + evidence	
Any evidence of discussion at Liaison Group meetings on:		Document review/PVQ	
<ul style="list-style-type: none"> <li>• Home Authority work</li> <li>• Advisory work</li> <li>• Promotional work</li> </ul>	Yes/No Yes/No Yes/No		
Has the Authority carried out any liaison with other Local Authorities with similar industries?	Yes/No	Detail:	<p><i>Groups of home authorities serving the same sector of the industry should undertake regular liaison to ensure that the advice given by Home Authorities across a sector is consistent. [CP – 1.1.9]</i></p>

Question	Answer	Comments/Evidence	Auditors' Notes
Any initiatives carried out with other authorities on: <ul style="list-style-type: none"><li>• Home Authority work</li><li>• Advice to Business</li><li>• Promotional work</li></ul>	Yes/No Yes/No Yes/No	Detail:	

**Documents:** Copies of any relevant liaison group minutes, agendas/minutes for other relevant liaison meetings.

**(HAP/9) Internal Monitoring [The Standard - para. 19]**

- 19.1 The Authority shall set up, maintain and implement documented internal monitoring procedures in accordance with the Food Safety Act Code of Practice and centrally issued guidance.
- 19.2 The Authority shall verify its conformance with this Standard, relevant legislation, the relevant Food Safety Act Codes of Practice, relevant centrally issued guidance and the Authority's own documented policies and procedures.
- 19.3 A record shall be made of all internal monitoring. This should be kept for at least 2 years.

Question	Answer	Comments/Evidence	Auditors' Notes
Does the Authority have a documented monitoring procedures?	Yes/No	Document review (PVQ B12)	
Who is responsible for carrying out the monitoring?		Name(s):	
<b>Does it cover monitoring of:</b>			
<ul style="list-style-type: none"> <li>• Home Authority work on:                             <ul style="list-style-type: none"> <li>- inspections</li> <li>- complaints</li> <li>- sampling</li> <li>- liaison with HA/OA companies</li> </ul> </li> <li>• Advisory work</li> <li>• Promotional work</li> </ul>	Yes/No Yes/No Yes/No Yes/No  Yes/No Yes/No	Detail:	Auditors should check whether referrals are appropriate and not just a way of avoiding formal enforcement work.  Auditors should check whether anyone is monitoring the referrals made to the Authority.
Are records of internal monitoring maintained?	Yes/No	Detail:	
Where necessary have corrective actions been identified and implemented?	Yes/No	Audit check of records	<i>There should be evidence of corrective action where non-conformity is found. Continuing identification of the same problem could indicate that corrective action had not been effective. It is unlikely that there are any corrective actions relating to advice and promotions but there may be actions associated with Home Authority work.</i>

Question	Answer	Comments/Evidence	Auditors' Notes
How have these been addressed?		Detail:	<i>e.g. training; revised procedures; discussion at Team Meetings etc.</i>

**Documents:** Internal monitoring procedures, copies of any internal reports following consistency and monitoring exercises.

**(HAP/10) Third Party or Peer Review [The Standard- para. 20]**

20.1 The Authority shall participate in any appropriate third party or peer review process against the Standard.

<b>Question</b>	<b>Answer</b>	<b>Comments/Evidence</b>	<b>Auditors' Notes</b>
Have any inter-authority audit schemes taken place in the LA's area?	Yes/No	Officer interview	<i>The auditor should record the scope of any audits, the dates and whether it was part of a rolling/wider programme. A copy of any audit reports should have been received with the PVQ. If there is no evidence of an inter-authority audits (IAA), the auditor should ascertain whether any such exercises have been undertaken in the area.</i>
Has the Authority participated in any inter authority audit scheme?	Yes/No	Document review/PVQ/Officer interview Scope/Date(s)/Detail of areas covered:	<i>Scope - i.e. full/focused/partial. If not full, detail areas covered.</i>
If YES, was it part of a rolling series of audits/wider programme?	Yes/No	Details:	
Was there anything of relevance to: <ul style="list-style-type: none"> <li>• Home Authority work</li> <li>• Advisory work</li> <li>• Promotional work</li> </ul>	Yes/No Yes/No Yes/No		
Has the Authority participated in any other third party/peer review process?	Yes/No	Document review (PVQ B13)/Officer interview Detail/Date(s):	
If YES, what standard(s) was the audit(s) carried out against? e.g.National guidance/the Standard/ISO etc.		Detail:	

Question	Answer	Comments/Evidence	Auditors Notes
Have corrective actions been identified during any third party/peer review process?	Yes/No	Document review /PVQ/audit check	
If YES, have these corrective actions been programmed as part of an action plan?	Yes/No	Audit check	
Is the Authority adhering to this action plan?  How does the LA ensure that the action plan is completed?	Yes/No	Audit check  Detail:	
Who is responsible for following-up on implementation? e.g. the LA/the auditors?		Detail:	
Is there any over-arching monitoring of IAAs being undertaken by the liaison group? e.g. via a steering group.	Yes/No	Detail:	
Is there any dissemination of good practice?	Yes/No	Detail:	
Have reports on the findings of any audits gone to Members?	Yes/No	Detail:	

**Documents:** Audit reports, summaries and action plans.

**(HAP/11) Food and Feeding Stuffs Safety and Standards Promotion [The Standard- para. 21]**

21.1 The Authority shall promote food and feeding stuffs safety and standards. For example, this may include:

- food safety and standards awards or competitions;
- participation in co-ordinated food and feeding stuffs safety and standards campaigns;
- partnerships with voluntary organisations, the community and other agencies with a view to targeting specific groups;
- targeted dissemination of information on food and feeding stuffs safety and standards issues;
- supporting food safety and standards training in schools and colleges;
- raising awareness of imported food controls.

21.2 The Authority shall maintain records of its food and feeding stuffs safety and standards promotions.

Question	Answer	Comments/Evidence	Auditors Notes
Does the authority undertake any relevant promotional activities?	Yes/No	Detail:	The auditor should ascertain any allocated funding, minutes of relevant meetings with external organisations, feedback/evaluation forms and other evidence of promotional activities.
What was the Authority's rationale and methodology for carrying out any promotional initiatives?		Detail:	<p><i>Auditors should explore why a particular issue was chosen, how any target group was selected and were they involved in development of the initiative.</i></p> <p><i>Auditors should also check how the method of intervention was selected, whether organisational strengths/weaknesses and any barriers were identified and addressed, whether a pilot exercise was carried out and whether it was a one off activity or an on going initiative.</i></p>

Question	Answer	Comments/Evidence	Auditors Notes
Has any evaluation been carried out?		Detail:	<i>Auditors should consider how and whether the LA effectively measured success, progress and value for money.</i>

**Documents:** Any relevant examples, evidence and good practice.

**Statistics:** Promotions budget.