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**FOCUSED AUDITS ON STATISTICAL MONITORING
RETURNS**
[May 2004]

FOOD LAW ENFORCEMENT AUDIT CHECKLISTS

[NOTE: These checklists have been developed specifically for focused audits on the arrangements for providing statistical monitoring returns on enforcement activity to the Food Standards Agency.]

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Checklist D - Premises files

Section 7 - Food Premises Inspection

Section 11 - Food Premises Database

Frequency of checks: A minimum of 10 premises files for each discipline (Food Hygiene and Food Standards) should be examined to check paper records against the database for consistency in record keeping, for the purposes of compiling monitoring data. Check a variety of main activities to determine whether premises are being correctly risk assessed.

	1	2	3	4	5	6	7	8	9	10	11	12
Food Hygiene: Examine the last inspection only												
Food Standards: Examine the last inspection only												
File Name/identifier												
Date latest inspection [Std – 7.1]												
Risk rating category [Std – 7.1]												
Inspected on time?												
Is it correctly risk assessed?												
Check report or letter - if it contains contraventions then it should be recorded as formal warning [Std - 7.4 & CP – 9.26 & CP - 8.23]												
Revisited? – if yes, has it been recorded as a programmed revisit? [Std - 7.4]												

	1	2	3	4	5	6	7	8	9	10	11	12
Inspection details on computer database and file are up to date, accurate & consistent. [Std – 16.1]												
If visited for more than just an inspection e.g. sampling, complaint – are multiple visits being recorded on database?												

NOTES

Checklist F - Improvement Notices
Section 7 - Food Premises Inspection
Section 15 – Enforcement

Frequency of checks: A minimum of 5 improvement notices served by differing officers in the last two years.

	1	2	3	4	5	6	7	8	9	10	11	12
Name of Premises/Notice identifier												
IMPROVEMENT NOTICES												
Recorded on database correctly												
'Main activity' code correct												
Compliance check visit recorded correctly? i.e. Programmed revisit, unprogrammed revisit or other visit												

NOTES

Checklist G - Emergency Prohibition Procedures/Voluntary Closure

Section 7- Food Premises Inspection

Frequency of Checks: A minimum of 5 or 100% if less have been served in the last 2 years.

	1	2	3	4	5	6	7	8	9	10	11	12
Name of Premises/Notice identifier												
VOLUNTARY CLOSURE												
Recorded on database correctly												
'Main activity' code correct												
Premises visit to check on closure - correctly recorded?												

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	1	2	3	4	5	6	7	8	9	10	11	12
Name of Premises/Notice identifier												
EMERGENCY PROHIBITION NOTICE/ORDER												
Recorded on database correctly – an emergency prohibition order obtained after an EPN is not separately recorded on the monitoring return.												
Main activity code correct												
Monitoring visits correctly recorded												

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Checklist H Prosecutions/Formal Cautions
Section 7 - Food and Feeding Stuffs Premises Inspection
Section 15 – Enforcement

Frequency of checks: A minimum of 5 or 100% if less have been taken in the last 2 years.

	1	2	3	4	5	6	7	8	9	10	11	12
Name of Premises/Premises Identifier												
PROSECUTIONS												
Recorded on database correctly												
'Main activity' code correct												

NOTES

AUDITORS – CHECK ALSO THAT LA IS RECORDING THE CONVICTIONS FOR TABLE 3.1. ONLY 1 ENTRY SHOULD BE MADE FOR EACH TYPE OF CONVICTION EVEN THOUGH SEVERAL SUMMONSES MAY HAVE BEEN SERVED E.G. FOR CLEANING

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	1	2	3	4	5	6	7	8	9	10	11	12
Name of Premises/Premises Identifier												
FORMAL CAUTIONS												
Recorded on database correctly												
'Main activity' code correct												

NOTES

Checklist I -Detentions and Seizure/Voluntary Surrender
Section 7 - Food and Feeding Stuffs Premises Inspection
Section 12 – Food Inspection and Sampling

Frequency of checks: A minimum of 5 files should be inspected or all if there has been less than 5 actions in the last 2 years.

	1	2	3	4	5	6	7	8	9	10	11	12
Name of Premises/premises Identifier												
VOLUNTARY SURRENDER												
Recorded on database correctly												
'Main activity' code correct												
DETENTION												
Recorded on database correctly												
'Main activity' code correct												

	1	2	3	4	5	6	7	8	9	10	11	12
SEIZURE												
Recorded on database correctly												
'Main activity' code correct												

NOTES

Checklist J - Approved Premises
Section 7 – Inspection of Food Premises
Section 11 - Food Premises Database
Section 16 - Records and Inspection reports.

Frequency of checks: Any files **where approval as been revoked** in the last 2 years should be checked. **NB: If an approved premises has closed check that the approval has been revoked.**

	1	2	3	4	5	6	7	8	9	10
Name of Premises/Premises Identifier										
REVOCATIONS										
Recorded on database correctly										
'Main activity' code correct										

NOTES

Checklist K – Database and Monitoring Returns
Section 7 - Food and Feeding Stuffs Premises Inspection
Section 11 – Food Premises Database

Frequency of checks: A minimum of 10 checks from an up to date commercial directory or from observation of the area and other sources. Premises should include - Food manufacturers/caterers/retailers/butchers/bakers/importers and ERTS. Different parts of the Authority's area should be included.

	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15
Name of premises															
FOOD HYGIENE Record on computer system [Std – 11.1]															
Premises included within the food hygiene inspection programme															
Inspected on time?															
FOOD STANDARDS Record on computer system [Std – 11.1]															
Premises included within the food standards inspection programme															
Inspected on time?															

	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15
FEEDING STUFFS Record on computer system [Std – 11.1]															
Planned inspection date on computer															

NOTES

Checks on Monitoring Returns:

1. *Pre-audit checks*

- Check the reason for selecting LA for audit, i.e. details on OCD data submission.
- Request information from monitoring team regarding timeliness of data submission and validations.
- All monitoring returns for the preceding 2 years should be checked for any anomalies and inconsistencies (eg high numbers of inspections but very low figures for informal written warnings).
- Lists of actions carried out requested from LAs as part of their PVQ submission (eg inspections; complaint investigations, enforcement actions and sampling) should be cross-referenced with the monitoring returns for inconsistencies (eg the number of EPNs provided for audit purposes not reflected in the monitoring returns).
- Comparison of data on premises profiles in LAs Service Plan and monitoring returns.
- Check whether LA is recording over 100% programmed inspections, and whether the % of inspections completed as submitted on returns, matches that reported in any service plan review.
- Highlight and investigate anomalies between premises profiles for food hygiene and food standards purposes within unitary LAs. Also for Counties check how the total number of premises compares to the premises totals of all the relevant districts.

2. *On-site audit checks*

- Request a list of codes used for data entry in relation to food and feeding stuffs. This should include main activity codes and those used to record inspections, revisits, all other visits, and all follow up actions.
- Hardcopy records for all activities examined during the audit should be cross-referenced with database entries to ensure that they are correctly coded and entered (e.g. on inspection files audited, checks made to ensure that inspections are recorded as such on the database, revisits are correctly coded, sampling visits are not marked as inspections etc.). – SEE RELEVANT CHECKLISTS
- A common error is the unitising of premises for the purposes of the inspection programme. Check records of supermarkets, which are the most likely to be unitised.
- Comparison of sampling monitoring returns with records on site.
- Comparison of monitoring return data on food complaints and complaints about the hygiene of premises with records on site.
- Relevant LA officers and administrators responsible for the database should be interviewed to establish the data inputting controls, to audit the process for compiling and validating monitoring returns and to further examine any concerns identified and a range of management reports should be run from the LA's database to identify any anomalies:

REPORTS FOR FURTHER ON-SITE AUDIT CHECKS

REPORT	PURPOSE	SUMMARY OF FINDINGS
'No inspectable risk' (NIR) premises list [provided as part of PVQ]	All premises with 'no inspectable risk' ratings (usually for food standards) to check that all relevant premises are included in the inspection programme. Can be used to identify incorrectly risked premises and useful in determining compliance with an inspection programme.	
Those premises with a food inspection code and a zero risk rating. [provided as part of PVQ]	Usually these would be unrated premises that have opened and have not yet been inspected.	
Reports listing all the formal enforcement actions taken in the last three quarters that have been reported to the Agency. [provided as part of PVQ]	Reports that list the number of formal actions completed within a date range can be compared to the submitted monitoring return for consistency. Include Improvement Notices, Voluntary Closures, EPN's, EPO's, Seizures, detentions, voluntary surrenders, prosecutions, formal cautions, suspension of butchers licences, revocations of licences or approvals.	

REPORT	PURPOSE	SUMMARY OF FINDINGS
<p>Programmed and unprogrammed Inspections completed in the last 6 months [requested in pre-audit letter to be available at start of audit]</p>	<p>A report that lists the number of inspections completed within a date range can be compared to the submitted monitoring return for consistency. This should be used to select files for examination during audit.</p>	

AUDITOR NOTE: FIRST ASK FOR REPORTS 1-6 USING CUSTOMISED REPORT LIST AND THEN 7-9 ONCE THE FIRST BATCH HAVE BEEN PRODUCED, USING THE CUSTOMISED ANCILLARY REPORT LIST.

<p>1. A list of codes used for data entry in relation to food and feeding stuffs – to include main activity codes and those used to record inspections, revisits, all other visits and all follow up actions.</p>	<p>The list will enable database checks to assess whether premises and visits are recorded correctly. It may also show whether there are relevant codes to differentiate between planned and unplanned inspection and revisits, and for recording all follow up actions e.g. separate code for written warnings</p>	
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REPORT	PURPOSE	SUMMARY OF FINDINGS
<p>2.List of Manufacturers and Manufacturers selling mainly by retail, as defined by the FSA return - to include premises details, risk category and next inspection date.</p>	<p>This list may highlight wrongly classified premises. The result may be incorrect FSA returns. If risk category and next inspection date are included then problems in missing fields/ no risk assessment/ incorrect risk assessment may be determined. This would indicate an inaccurate database and/or problems with risk assessment. This list could also be cross-checked to approvals list as approved premises are normally manufacturers.</p>	
<p>3. All A or high risk rated premises with next inspection date.</p>	<p>Incorrectly rated premises may be identified; differences from monitoring returns; overdue inspections; premises missing from the inspection programme and any with no food activity.</p>	
<p>4.Overdue inspections with premises type, risk category and dates of last and next inspections.</p>	<p>List of overdue enables comparison with monitoring returns and figures on PI performance in Service Plan.</p>	

REPORT	PURPOSE	SUMMARY OF FINDINGS
<p>5. Premises that have closed or ceased trading in the last quarter submitted to the Agency.</p>	<p>Check against monitoring returns data, and find out how these are entered on the database, to ensure there is no double accounting. A visit to carry out a programmed inspection when the premises are found to have closed should not be coded as an inspection. It should be recorded as 'other visit' and a ceased trading record entered. If any Approved Premises have closed, check that Approval is revoked and recorded.</p>	
<p>6. Feeding stuffs inspection and samples. Ask for reports that cover the last 2 quarters submitted to the Agency :</p> <ul style="list-style-type: none"> • Number of approved and registered premises by main activity category • Number of inspections and revisits achieved against premises classification • Number of formal and informal samples of feeding stuffs taken, and whether result was satisfactory or not. 	<p>To check against monitoring return</p>	

REPORT	PURPOSE	SUMMARY OF FINDINGS
<p>7. Programmed and non programmed revisits completed in the last quarter submitted to the Agency, with name, address and risk category.</p>	<p>To check whether the LA is distinguishing between revisits after programmed and non programmed inspections.</p>	
<p>8. Formal and informal samples taken in the last quarter submitted to the Agency. Ask for sample reference, date, type of food, formal or informal and satisfactory or not.</p>	<p>This data should be compared to the submitted monitoring return for consistency. Auditors note – if the database has a separate screen where samples are entered, check that this is being cross-referenced with the premises screen so that a sampling visit is recorded for the purposes of the monitoring return.</p>	
<p>9. Food complaints and complaints about the hygiene of premises received in the last quarter that has been reported to the Agency. Ask for complaint reference, date and type.</p>	<p>Check against the data submitted to the Agency, and also check on database the reason for the complaint, to see if coded correctly for monitoring purposes.</p>	
<p>AUDITORS - REQUEST THE FOLLOWING REPORTS ONLY IF THERE APPEAR TO BE MANY ANOMALIES ON DATABASE AND IF THERE IS TIME</p>		
<p>Those premises with a food risk rating but no food code.</p>	<p>With some software packages only one main premises code can be entered, and there may be offices or factories with canteens, or similar that are coded as non-food premises. These can be missed out of the food programme if the report is not coded to include them.</p>	

REPORT	PURPOSE	SUMMARY OF FINDINGS
Those premises with a food inspection code and a blank risk assessment category.	This report will identify premises with missing food assessments.	

Checklist P – Butchers Licensing

Section 5 – Authorised Officers

Section 7 – Inspection of Food Premises

Section 10 - Advice to business

Section 16 - Records and Inspection reports.

Frequency of checks: A minimum of 5 premises files - **only where licences have been suspended or revoked** - should be checked, or all if less than 5 carried out in last 2 years.

	1	2	3	4	5	6	7	8	9	10
Name address of premise/file identifier										
LICENCES SUSPENDED OR REVOKED										
Recorded on database correctly										
'Main activity' code correct										

NOTES
