

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

FOOD LAW ENFORCEMENT AUDIT PROTOCOLS

[NOTE: These protocols 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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3. Organisation and Management

- 3.1 The Authority shall draw up, document and implement a service delivery plan in accordance with the Service Planning Guidance in Chapter 1.
- 3.2 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.

Question	Answer	Comments/Evidence	Auditors Notes
Does the Authority have a service delivery plan?	Yes/No	Document Review (PVQ B1)	The service delivery plan should be provided prior to the visit. The auditor should check how the premises breakdown and the inspection programme compare against the monitoring data provided by the Authority.
Performance review against the Service Plan	Yes/No	Document Review (PVQ B1.)	The performance review might be a separate document.
Identification of any variation from the Service Plan	Yes/No		
Has the Authority undertaken an annual review of their performance?	Yes/No	Document Review (PVQ B1& B2.)	The Auditor should look for a documented review of the service activity.
Following the review were actions to address any variations from the service plan included in the following years arrangements?	Yes/No	Document Review (PVQ B1 & B2.) Officer interview if necessary.	Have the missed inspections from the previous year been added on to the current year's programme?

Documents: Service plan, Performance review.

Statistics: No. of premises (risk categorised; these may be obtained from the OCD returns) for food hygiene, feeds, food standards, Current planned programme (from PVQ), Achievement against programme (from PVQ), No. of inspections in previous financial year (from OCD returns).

6. Facilities and Equipment

- 6.1 The Authority shall make available the necessary facilities and equipment to permit all activities associated with the service to be carried out.
- 6.2 The Authority shall set up, maintain and implement a documented procedure to ensure that equipment is properly maintained and calibrated, and removed from service when found to be defective.
- 6.3 Relevant information about the equipment shall be recorded.
NOTE: This should normally include identification, calibration status and the results of any in service checks.
- 6.4 **Any computer software package or other method of record administration used by the Authority shall be capable of providing any information reasonably requested by the Food Standards Agency. Such systems shall be operated in such a way so as to be able to provide required information to the Agency.**
- 6.5 **The Authority shall set up, maintain and implement appropriate back up systems for any electronic databases and systems or documented procedures which have been designed to minimise the risk of corruption or loss of information held on its databases.**

Question	Answer	Comments/Evidence	Auditors Notes
What computer software is used for:			
• Food Hygiene		Detail:	
• Food Standards		Detail:	
• Feeding stuffs		Detail:	
Is the Authority's recording system capable of providing accurately the information required by the FSA? If no, is the failure due to the recording system or other reason?	Yes/No	Specify reason:	The Auditor should obtain the monitoring information gathered by the FSA. If this information has not been provided then the auditor should investigate the reason. The auditor should discuss with the monitoring team any queries they may have on the accuracy of the returns. The Food Standards Act requires LAs to provide information to the FSA. Failure to provide the information should be attributed to either the recording system or some other reason. Checks made under the Database section may help auditors come to conclusions under this section.

Question	Answer	Comments/Evidence	Auditors Notes
Is it being operated so as to provide information required by the FSA?	Yes/No		Check data provided by the monitoring team against that obtained during audit and contained in the service plan.
Is the software capable of exporting monitoring data to the FSA electronic form, or are separate reports run to retrieve the information?		Detail:	
If the data is electronically exported to the monitoring form, what validation checks are carried out to confirm accuracy of data?		Detail:	
Are records of enforcement actions recorded on the computer system?	Yes/No		If not, then check how the LA ensures that records are easily retrievable for monitoring data compilation?
How are samples and results recorded for the purposes of monitoring data? Is it on paper records or on the computer system?		Detail:	The Auditor should obtain this information from discussions during audit and from any database reports provided for samples taken and results received. The Auditor should confirm how the LA defines formal and informal samples. NB all samples for examination that are analysed by an accredited laboratory should be recorded as 'formal'.
How are food complaints and complaints about the hygiene of premises recorded for the purposes of monitoring data? Is it on paper records or on the computer system?		Detail:	The Auditor should obtain this information from discussions during audit and from any database reports provided for complaints received. The Auditor should confirm what is being recorded as a complaint about the hygiene of premises, and how these are differentiated from requests for advice, which are not included in the monitoring return.

Question	Answer	Comments/Evidence	Auditors Notes
Are there any problems with monitoring data in relation to:			
Food Hygiene			
• Inspections	Yes/No	Detail:	
• Other visits	Yes/No	Detail:	
• Follow up actions	Yes/No	Detail:	
• Samples	Yes/No	Detail:	
• Complaints	Yes/No	Detail:	
Food Standards			
• Inspections	Yes/No	Detail:	
• Other visits	Yes/No	Detail:	
• Follow up actions	Yes/No	Detail:	
• Samples	Yes/No	Detail:	
• Complaints	Yes/No	Detail:	
Feeding stuffs			
• Inspections	Yes/No		
• Samples	Yes/No		
Who collates the data required for the official monitoring returns?		Detail:	
Who has management responsibility for compiling, checking and submitting the returns?		Detail:	When was checking of monitoring data introduced?

Question	Answer	Comments/Evidence	Auditors Notes
Have there been any problems with the LA's official monitoring returns?	Yes/No	Official monitoring returns	Any previous and outstanding problems should be detailed. The auditor should note the reason for selection of the LA for audit.
Were the Authority aware of the problems?	Yes/No		
What measures have been introduced to address any problems identified?		Detail:	
Does the Authority have procedures in place to prevent corruption of the database?	Yes/No		The auditor should check the procedures. These procedures may be included with those aimed at keeping the database up to date and accurate under section 11 of the Standard.
Are the procedures implemented?	Yes/No	Audit Check Detail:	The Auditor should check whether any other sections or department have access to the database and the extent of that access. The Auditor should confirm that the controls are in place. The Auditor may interview the Systems Administrator.
What arrangements does the Authority have to backup the computer database?		Detail:	

Question	Answer	Comments/Evidence	Auditors Notes
Is the database accurate for:			
Food Hygiene?	Yes/No	Detail:	Checklist K + other evidence relating to information held on the database and duplicate records examined when completing other parts of the protocol. Auditors may discover inspections, samples or complaints on hard files that have not been recorded on the computer. When searching for computer records duplicate entries may be found.
Food Standards?	Yes/No	Detail:	
Feeding stuffs?	Yes/No	Detail:	
How does the Authority control the information entered onto the database?		Detail:	Arrangements might include: <ul style="list-style-type: none"> • Restricted access for entering and deleting premises. • Documented input protocols • Training of input staff • Mandatory fields • Dedicated input staff
How are new premises entered on to the database? Is it restricted? Are there any procedures?		Detail:	There may be dedicated administrative staff responsible for entering and removing and altering premises data?
What criteria does LA use to define when premises have closed/ceased trading? Who amends database? Is there a procedure?		Detail:	There may be dedicated administrative staff responsible for entering and removing and altering premises data?

Question	Answer	Comments/Evidence	Auditors Notes
What training/procedural guidance is given to staff inputting data on to the system?		Detail:	This could be a general training session by the software company, or detailed work instructions for data entry.
Has the person responsible for completing and submitting the monitoring form to the Agency had any training?		Detail:	
How does the Authority verify the information held on its database?		Detail:	<p>The effort the Authority needs to expend in checking the database will depend on the amount of users and the number of entries made. Arrangement might include:</p> <ul style="list-style-type: none"> • Data management checks e.g. Reports showing missing fields such as risk score, premises usage code etc. Reports showing names and addresses against a particular usage code to verify that they have been correctly allocated. • File audits to check for errors inputting from standard input sheets and whether hard copy files correspond to the information held on computer e.g. copies of inspection forms will indicate where an inspection should be recorded on the computer. • Utilising audit logs to ensure timely updates of records.
Is access to the computer system controlled?	Yes /No		<p>Auditors should expect to find a password system in place. Passwords should be changed regularly and each user should be allocated one. The purpose of passwords is to limit access and to enable the audit log to detail that person's activity. Auditors should pay particular attention to shared computers where once accessed the system can be used by anyone.</p> <p>Auditors should investigate whether any other departments or sections within the council use the system and what controls are in place to control access.</p>

Question	Answer	Comments/Evidence	Auditors Notes
Who has management responsibility for the database?		Detail:	
Does the LA have any liaison in place with other users of the computer system?	Yes /No	Detail:	This could be in the form of a local or regional user group.
If a problem is identified with the database, what is the mechanism for getting it resolved? Does this work in practice?		Detail:	Is there a service level agreement with the software company? The LA may have a dedicated systems support officer.

Documents: Database procedures

19. Internal Monitoring

19.1 The Authority shall set up, maintain and implement documented internal monitoring procedures in accordance with the relevant 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.

Question	Answer	Comments/Evidence	Auditors Notes
Does the Authority have a documented monitoring procedure?	Yes/No	Document Review (PVQ B5)	Inspection quality and nature [CP - 9.45] Inspection quality and nature [CP - 8.28]
- Who carries out the monitoring?		Name(s):	
- Are there nominated deputies?	Yes/No	Name(s):	
Does it cover database checks and data entry in relation to:		Document Review (PVQ B5)	The monitoring of the different sections of the standard should include the recording of activity, and accurate and timely computer data entry. The method of data storage and retrieval should facilitate the compilation of accurate statistical information in the format required by the monitoring form.
Food Hygiene			
• Inspections	Yes/No	Detail:	
• Other visits	Yes/No	Detail:	
• Follow up actions	Yes/No	Detail:	
• Samples	Yes/No	Detail:	
• Complaints	Yes/No	Detail:	

Question	Answer	Comments/Evidence	Auditors Notes
Food Standards			
• Inspections	Yes/No	Detail:	
• Other visits	Yes/No	Detail:	
• Follow up actions	Yes/No	Detail:	
Question	Answer	Comments/Evidence	Auditors Notes
• Samples	Yes/No	Detail:	
• Complaints	Yes/No	Detail:	
Feeding Stuffs			
• Inspections	Yes/No		
• Samples	Yes/No		
- Quantitative aspects of the service	Yes/No		<p>Auditors should check whether the number of inspections against programme is being monitored. This should include a means of recording premises that were programmed for inspection, but have ceased trading.</p> <p>Newly opened premises should not be recorded as part of the programme.</p> <p>Revisits following programmed inspections should be recorded separately from revisits after inspections that were not programmed.</p> <p>Advisory and sampling visits should be counted separately from inspections and revisits.</p> <p>Auditors should check how the collection of quantitative data is being monitored. Failure to record all visits and follow up actions will affect the accuracy of monitoring data subsequently retrieved from the database,</p>

Question	Answer	Comments/Evidence	Auditors Notes
- Qualitative aspects of the service	Yes/No		Auditors should check if there is any verification of data entry to ensure that food enforcement activity is recorded consistently by all officers. Incorrect coding of visits or actions or incorrect risk rating, will affect the accuracy of monitoring data subsequently retrieved from the database.
Where necessary have corrective actions been identified and implemented?	Yes/No	Audit check of records	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.
How have these been addressed?			Eg Training?

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

20. Third Party or Peer Review

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

Question	Answer	Comments/Evidence	Auditors Notes	
Has the Authority participated in any inter authority audit scheme?	Yes/No	Document review (PVQ B6)	Scope: did the audit include the maintenance of the database, and the collation of statistical monitoring data?	Date(s):
Has the Authority participated in any other third party/peer review process that included the maintenance of the database, and the collation of statistical monitoring data?	Yes/No	Document review (PVQ B6)	Third party audits may include, Best Value inspections, IIP, ISO 9000, ISO 45004.	
			Scope:	Date(s):
Have corrective actions been identified during any third party/peer review process in relation to the database and official monitoring returns?	Yes/No	Document review (PVQ B6O)		
If so, have these corrective actions been programmed as part of an action plan?	Yes/No	Audit check		
How does the Authority ensure adherence to the action plan?				

Documentation: Audit report summaries and action plans.