FINAL REPORT

Developing an Overview of Delivery of Official Controls for Food Safety and Standards by LAs and PHAs across the UK

FS616004

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Hartley McMaster Ltd and Quo Vadis Consulting

Hartley McMaster Ltd
Broadway Chambers
1-5 The Broadway
St Peter's Street
St Albans
Herts
AL1 3LH

Tel: +44(0)1727 855432
Email: consultancy@hmcm.co.uk
Web: www.hmcm.co.uk

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Contents

0.   Executive Summary

0.1   This report presents the findings of research project FS616004, commissioned by the Review of the Delivery of Official Controls (RDOC) programme of the Food Standards Agency (FSA).

0.2   The RDOC programme aimed to develop a clear understanding of the ways in which local authorities (LAs) and port health authorities (PHAs) organised themselves to deliver Official Controls (OCs) – the primary means for ensuring that food prepared for and sold to the public in the UK is safe and correctly labelled. The FSA wanted to understand how financial pressures in LAs was affecting their ability to protect the public and what approaches were working well in the current financial climate.

0.3   A project team, staffed by consultants from Hartley McMaster Ltd (HMcM) and Quo Vadis Consulting (QV) were commissioned to undertake this research project.

0.4   Work was divided into two phases:

- o   Phase 1 – to confirm the RDOC data requirements, assess these against existing data sources and to recommend the best way of filling any data gaps; and
- o   Phase 2 – to collect data to fill any gaps, merge this with data from existing sources and to analyse and report the findings.

0.5   Work on Phase 1 started in April 2012. The project team worked with the RDOC team and identified a set of data requirements to support the project. These were wide ranging, reflecting the desire of the RDOC Programme to have a comprehensive understanding of how LAs were organising themselves to deliver OCs.

0.6   The data available to FSA from published sources and from existing in-house data collection were reviewed in terms of their suitability to meet RDOC requirements. It was clear that a significant data gap remained between the requirements and the available data.

0.7   The practicality – in terms of both the availability of data to fill the gaps and the burden supplying it would place on LAs/PHAs – was assessed through a series of visits to 20 authorities. Based on the feedback from the visits, a draft questionnaire was developed by the project team and assessed by a small number of LAs.

0.8   A separate subset of the information was identified as being more appropriate for collection through interviews. A separate research project (FS616021) undertook this data collection from a sample of 30 authorities.

0.9   The revised questionnaire was implemented using online survey tools (the SelectSurvey package) and, after further testing by volunteers at a small number of authorities, was launched in September 2012, with authorities originally given 5 weeks to respond. Invitations were sent to all LAs and

PHAs in the UK, with the four Regional Groups in Northern Ireland also being invited to take part. After a number of individual extensions were given, the survey finally closed in early November 2012.

0.10   The response rate to the survey was high (67%). Although most questions in the questionnaire were not marked as mandatory to answer, very few of the questions were skipped. Those which had lower response rates were mainly concerned with budgets.

0.11   The profile of the responding authorities (in terms of size, authority type, geographical type, demographics and workloads/outcomes) was compared to the national profiles and found to be very similar. This strongly suggests that the survey respondents are a representative sample.

0.12   There is a wealth of information contained in the survey responses. This has been analysed to identify key outputs pertinent to the RDOC Programme. The key findings may be summarised as:

- o   Service Plans are almost invariably ratified by elected members, giving good visibility of the service within authorities;
- o   Just over half of the authorities reported that Food Safety was a strategic priority for the authority;
- o   Food Safety budgets generally form part of a higher level budget;
- o   Just under half of the respondents reported that they had seen a significant decrease to their food safety budget since 2009/10 – the proportions were higher for England and Scotland than for Wales and Northern Ireland.
- o   Food Safety activities are combined with other Environmental Health or Regulatory duties in all but the largest authorities;
- o   Despite budget pressures, very few LAs are adopting radical service delivery solutions and most savings come from small-scale staffing reductions and controls on salary and reductions in support costs within the LA;
- o   Staffing levels reductions have fallen slightly more on Food Standards than for Food Hygiene and reductions have been greater for administrative staff compared to technical staff.
- o   There has been a small amount of service sharing across LAs but there is little indication that this will grow in the near future;
- o   There has been relatively little contracting out of services;
- o   Training for core competencies continues to be supported;
- o   There is some concern that continuing financial pressures may have a slight negative impact on the ability of LAs/PHAs to perform all their scheduled inspections in future, but the majority expect no impact on their ability to deliver Official Controls over the next 2 years.

0.15 The survey responses have been merged with the Office of National Statistics (ONS) data and an extract from the most recent FSA Local Authority Enforcement Monitoring System (LAEMS) data to produce a single database. This has been passed to FSA for use in further research work for RDOC.

1.   INTRODUCTION

1.1   This report presents the findings of research project FS616004, commissioned by the Review of the Delivery of Official Controls (RDOC) programme of the Food Standards Agency (FSA).

1.2   As a whole research project FS616004 was required to:

- o Identify what data on the delivery of official controls by local authorities (LAs) and port health authorities (PHAs) was required (both in terms of processes and plans for change) to meet the needs of the RDOC programme
- o Review the process and plan data that was available from existing sources for the delivery of official controls by LAs and PHAs and recommend additional sources where identified
- o Identify the gaps between the data required and that already available, and recommend appropriate methods to fill the data gaps
- o Run a survey exercise to fill data gaps, where this was the most appropriate method for gathering the missing data
- o Obtain specific information on budget cuts and handling, both at LA level and official control delivery level
- o Merge and analyse all of the data collected (to characterise performance, forecast trends, spot best practice, etc.) and report key findings
- o Provide a cleansed dataset to the FSA to allow further analyses to be undertaken

1.3   The report covers the process for identifying the data gaps and designing and implementing the data collection survey and then presents analysis of the extent to which the survey provides a representative picture. A set of core analyses are also provided.   Research project FS616004 will be referred to as "the Survey Project" in the rest of this report. A parallel research project (FS616021) was also commissioned to collect data not suitable for collection via a survey – collecting information via a series of detailed case studies; this work is referenced in this report (and the project is referred to as "the Case Study Project") but will report separately.

Background

1.4   The FSA's statutory purpose is to protect public health from risks that may arise from the consumption of food, including risks caused by the way food is produced or supplied.

1.5   The FSA is the UK Central Competent Authority (CCA) for the delivery of official controls under the EU food and feed Hygiene Regulations, and the domestic standard setting body for the delivery of food and feed hygiene enforcement. As such the FSA needs to be assured that the delivery structure throughout the UK is appropriate and that competent authorities are effectively identifying and addressing food business operator (FBO) non-

compliance in a manner that is proportionate to risk and in accordance with defined standards of delivery.

1.6   The current delivery model of these official controls is extremely complex, multi-tiered and involves many different groups. Official controls are currently delivered through a variety of means: FSA employees; other Government Departments; contractors; and (mostly) LAs and PHAs (see Figure 1 in Appendix A – see http://www.food.gov.uk/multimedia/pdfs/board/fsa110104b.pdf - and Appendix B – see http://www.food.gov.uk/multimedia/pdfs/enforcement/ncp-extension.

1.7   The FSA wishes to consider how best to secure efficiency, consistency, resilience and sustainability in this essential public health protection function and has been undertaking a wide portfolio of work to look at how official controls are delivered in the UK. This includes reviewing those controls delivered directly by the FSA and controls carried out on our behalf under service level agreements such as: Official veterinarians and meat inspection services; Shellfish monitoring; Dairy hygiene inspections; Trichinella testing; Egg hygiene inspections; Wine sampling and analysis.

1.8   As part of this wider programme of work, the FSA is undertaking a rigorous and wide ranging evidence based review of delivery of official controls (RDOC) by LAs and PHAs. The purpose of the review is to evaluate the effectiveness of the current delivery model in the UK, and consider the scope for making improvements to that model.

1.9   The activities undertaken by LAs and PHAs as Competent Authorities that are within the scope of RDOC include:

   o Official Controls Delivery as defined[1] within Regulation (EC) No 882/2004
   o Any other activity, including formal enforcement, aimed at securing feed and food business operator compliance with Food and Feed Law
   o Any other activity undertaken to meet the requirements laid on the Competent Authority by the FSA (as CCA).

Local Authority Delivery of Official Controls

1.10   Delivery of Official Controls across the UK are generally carried out by Environmental Health and Trading Standards teams. Trading standards services, working at a Unitary and County level, have historically enforced food standards (composition & labelling) and feed legislation. Environmental health services working at Unitary and District Council level enforce food hygiene controls. In Scotland, food standards controls are enforced through environmental health services and more recently, as local authorities have reviewed their resources, food standards activity has increasingly been enforced through environmental health services in Unitary authorities

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[1] Regulation (EC) No 882/2004, Article 2(1) with reference to the specific control activities, methods and techniques mentioned in Article 10 in that Regulation

elsewhere. In Northern Ireland, food hygiene and food standards controls are both delivered by Environmental Health Services within District Councils and inland feed controls are carried out by Department of Agriculture and Rural Development (DARD).

1.11   Imported food and feed controls are delivered at UK ports of entry by local authorities or where applicable, by port health authorities, and as part of the routine official controls at inland authorities. The exception is Northern Ireland, where feed controls and some imported food controls on produce of animal origin and food not of animal origin are carried out by DARD.

1.12   The latest figures for the 434 local authorities taken from latest LAEMS returns show them employing nearly 2,900 qualified enforcement officers and over 600 administrative staff, at a cost of £190 million are responsible for ensuring food safety compliance in over 560,000 premises. These are made up of approximately 400,000 catering and restaurant businesses; 130,000 retailers; and 16,000 food manufacturers and others.

1.13   The UK food sector is one of the most sophisticated and developed in the world. Food businesses range from multi-nationals and global brands to artisan owner/producers. The turnover of food businesses in the UK can be over 20 per cent each year in metropolitan areas.

1.14   Local authorities carry out over 500,000 on-site food hygiene and standards interventions each year in line with a Food Law Code of Practice, with the highest risk businesses receiving more frequent visits. Local authorities take over 150,000 enforcement actions annually to address food business operator non-compliance. These are primarily written warning letters, but also more formal interventions.

1.15   Routine food business inspections by local authorities are increasingly carried out alongside other regulatory activities, such as occupational health & safety, liquor licensing, pest control, infectious disease control, waste management and pollution control. Food officers also input into wider regulatory and health promotion responsibilities such as relevant planning applications and local public health strategies.

Rationale for the project

1.16   The FSA receives an annual report from Local Authorities on the level of official control activity[2] within each area and the level of regulatory compliance the Authorities detect in food establishments through the course of this activity.

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[2] This covers a range of activity from inspections or audits of food businesses, enforcement actions, sampling undertaken, to complaints handling.

1.17 However, these reports do not provide information on the delivery structures and arrangements that are in place within each Authority that undertake this activity necessary for the purposes of:

- o establishing a baseline of current practices
- o allowing identification and quantification of the impact of changes that would arise from alternative delivery systems to be considered within the review; and
- o understanding how these delivery arrangements are changing as a consequence of reductions in LA budgets and changes to government priorities.

1.18 Initial work within the FSA identified additional data sources that could be drawn on for these purposes (e.g. CIPFA statistics, LAs service delivery plans, and intelligence gathered through engagement with LAs/PHAs through food liaison groups etc), although this data is limited in terms of either specificity to the scope of the review and/or its consistency and comparability.

1.19 Therefore the FSA wished to establish an overview of current delivery of food and feed Official Controls by all LAs and PHAs across the UK and how this is changing to highlight gaps in the evidence base and inform development of approaches to fill these gaps. This project seeks to identify these knowledge gaps, options for filling them and undertake a data collection exercise that will begin to collate this information across all UK LAs and PHAs.

Research aims and objectives

1.20 The overall aim of the research was to describe the delivery of Official Controls by LAs and PHAs, and collate an evidence base to inform the assessment, quantification and qualification of current and alternative delivery systems.

1.21 The objectives are to:

- o describe the current structures, models and modes of Official Controls delivery within each UK LA and PHA;
- o identify the type and scale of interactions between Official Control delivery and other areas of responsibility and activity within an Authority; and
- o determine how LAs and PHAs think these might change over the course of current budgetary settlements across the UK.

1.22 Within this, the project also has the following six Specific Research Objectives:

- o Document the current approaches, structures, models and modes adopted by LAs and PHAs to deliver Official Controls in the UK. This

should cover the legal, regulatory, administrative, financial, structural and management domains. Consideration must be given to:

- o Classify different modes of working and the prevalence of each across the UK, highlighting similarities and differences between how Official Controls are undertaken in Authorities both within and across the four UK nations.
- o Identify how the Competent Authorities are addressing budget cuts over the short to medium term (in terms of budgets, structure, people, pay, activity and priorities)
- o Identify how the Competent Authorities are changing as a result of new government policies
- o Identify and capture any evidence of Competent Authorities ranking the priority of Official Control delivery against the delivery of other competing services within the Authority. If there is evidence of prioritisation, what was the relative priority of food and feed Official Controls and how was it determined?
- o Elicit attitudes from LAs and PHAs on the level and quality of central government support for LA/PHA delivery of Official Controls and on where and how improvements might be made in delivery.

1.23 The process for fulfilling these research objectives is outlined in Figure 1.1, which highlights the relevant sections of the report pertaining to each component of the research process.

Figure 1.1 The Survey Project
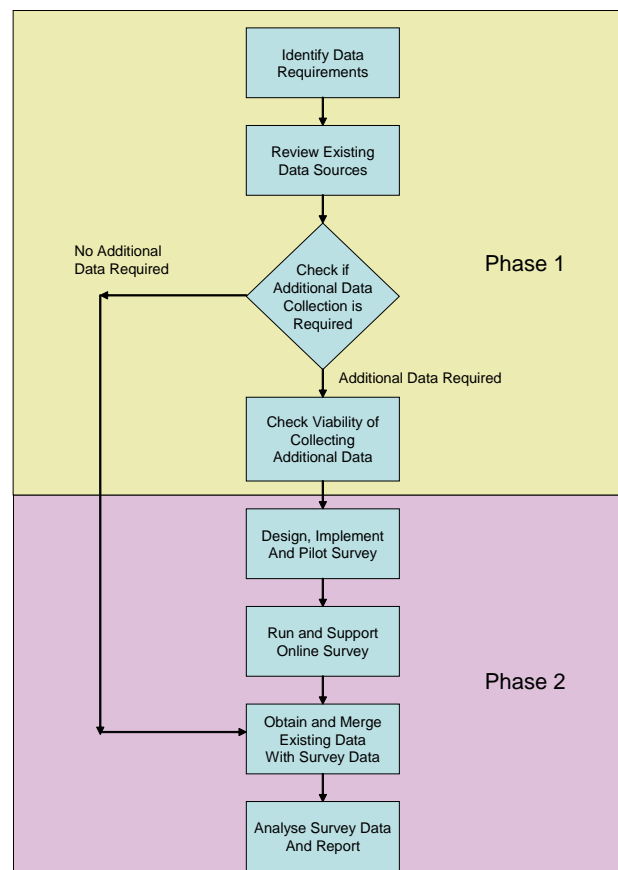
2. IDENTIFICATION OF THE DATA REQUIREMENTS

2.1   The initial task was to determine what data was required to meet the objectives of the RDOC programme. This section describes the information required and how this was used to identify the extent of the data gap.

Generic Data Requirements

2.2   Prior to examining the detailed data requirements, there are some general aspects to these that need to be considered.

Currency of Data

2.3   The majority of LAs and PHAs in England and Wales are experiencing unprecedented budgetary cuts and/or reorganisation. As a result authorities are reconsidering what services they are able to deliver and/or implementing alternative methods of delivery.

2.4   This makes for a very volatile environment, particularly with the budget cuts related to the Comprehensive Spending Review (CSR) to be in place by 2015 and the Review of Public Administration (RPA) structural changes in NI to be delivered in the same time frame. To reflect the rapid and significant changes which are being made, the data collected needs to:

   o   Provide a picture of how authorities are working currently (because in many cases this will be different from how things were 12 or 18 months ago)
   o   Highlight if there have been significant recent changes to get to the current position (because authorities may have opted to make the bulk of their changes at the start of the CSR period, implying that there will be less change in the following years)
   o   Identify what significant change is yet to come in the CSR period (for those authorities spreading their changes across the period).

Consistency of Data

2.5   What can initially appear simple information to collect can become complex on closer inspection. The question "what is the budget for your food hygiene team for 2012/13?" may on the surface sound easy to answer but it raises (at least) two major questions:

   o   What does that budget include and exclude?
   o   How is the food hygiene team defined?

2.6   Budgets may be made up of many elements. While it would be possible to define precisely what should be included in a budget figure (staff costs, IT costs, HR costs, accommodation costs, etc) it is likely that readily available budget figures (particularly at the food hygiene or food standards level) will

reflect local accounting practice rather than being reported in a standard way. Similarly, many authorities may have food safety officers undertaking other non-food duties in parallel (even if as a minor part of their workload). It could therefore be argued that any budget for a food hygiene team probably isn't the actual budget for food safety work because it includes budget elements for other activities. Other (probably larger) authorities might have dedicated food hygiene teams – and their response would reflect this and exclude budget for other work.

2.7　　　All of this means that, for questions like the one in the example above, it is likely that the simple form of the question will prompt responses which will not be directly comparable.

2.8　　　However, for the RDOC programme it is essential that information is collected in a consistent manner – to allow impact analysis of options to be undertaken knowing that the impact for all authorities is assessed uniformly.

Context of Data

2.9　　　The organisation and working practices of the food teams in authorities across the UK vary significantly. These variations can be reflected in many ways (from regional structural differences across the UK to organisational or budgetary differences within regions).

2.10　　The adjunct to the need for consistency is therefore that data collection must not force consistency on the responses where this is not appropriate and the collection must allow the genuine differences between authorities to be captured. Consistency of definitions is vital but capturing the right information to show underlying differences is equally important. This is particularly pertinent to the differences between authorities across the four countries of the UK, where regional differences need to be reflected.

Specific Data Requirements

2.11　　The FSA produced a set of research questions/topics which helped to identify their core data requirements which are listed in Appendix C. These research questions imply a set of associated data requirements. These were rationalised into a set of ideal data requirements – ideal in the sense that they do not take into account the feasibility of collecting the data.

2.12　　The data was grouped into 10 categories:

1. Authority Organisation
2. Prioritisation of Food Standards & Hygiene within Authority
3. Operating Model
4. Joint Working
5. Staff Qualifications and Roles
6. Changes To Deal With Cuts
7. Impact on Activity
8. Sources of External Funding

9.   Development and Recruitment
10. Communications

2.13   The draft data requirements were discussed in a workshop involving FSA staff and external stakeholders and from these a finalised ideal data requirement was drawn up. This was used as the basis of the data collection feasibility visits to authorities (described in Section 3 below). A copy of the data requirement (set out as the visit template) is included as Appendix D.

3. IDENTIFYING AND FILLING THE DATA GAP

Review of Existing Data Sources

3.1 Following identification of the data requirements, the next step was to compare these to existing data sources to identify the extent to which a gap existed between the two.

3.2 The FSA provided the Survey Study Project Team with a list that identified a number of data sources that were of potential use to the evidence-gathering phase of the review – this is included as Appendix G. The sources were characterised as either:

- Primary data sources that included raw data, databases and spreadsheets (49 sources)
- Secondary data sources that included service plans, analyses of data, reports, guidelines, websites etc. (90 sources).

3.3 All of the sources were reviewed by members of the Survey Study Project team to assess their usefulness. As might be expected, more effort was expended on assessing the primary data sources than the secondary data sources (with the exception of Food Service Plans).

3.4 The review of the existing data sources considered the following aspects:

- Assessment of the type of data available
- Mapping of the data type to the research topic categories
- Data quality and any associated concerns or issues
- Geographical data coverage
- Data consistency across authorities
- Data consistency over time
- Availability of data
- Dataset timeliness
- Dataset timeframe
- Format of data
- Cost and effort implications of obtaining data

3.5 Most of the secondary sources were of very limited value to this project or duplicated what could be obtained from the content of the primary data sources.

Coverage of Primary Data Sources and Food Service Plans

3.6 The table in Appendix E identifies the data requirements covered by each of the Primary Data Sources and Food Service Plans. This shows that there are potentially data sources that already exist for the following categories of data requirements:

- Vital statistics and workload context

- o Levels and types of activity, interventions, formal enforcements and outcomes
- o Budget information
- o Sources of Funding

3.7   The following sections outline the potential of these data sources and any issues regarding them. The remaining data requirements have the potential to be covered in part by LA Food Service Plans. A section below discusses their possible use.

Vital statistics and Workload Context

3.8   There appear to be a number of data sources[3] that provide information, which would be useful in terms of profiling a Local Authority, and its workload profile. Many of these sources provide data that is readily available, timely and reliable. For example:

- o The FSA Local Authority Enforcement Monitoring System (LAEMS) database holds data on the numbers and types of business. – although there is always a degree of time lag involved with LAEMS data
- o Primary Authority Database could be used to identified the number of Primary Authority agreements/partnerships for each LA in England
- o Meat Hygiene database could be used to identified the number of Meat Businesses for each LA
- o Census of UK population could be used to identified population (and appropriate breakdowns) for each LA
- o List of registered FBOs could be used to identified the number of Food Businesses
- o Regional and country profiles
- o Local profiles
- o Atlas of deprivation
- o Population estimates
- o Association of Port Health Authorities list of ports could be used to identify Port Health Authorities.

3.9   There is some overlap in the data that could be supplied by LAEMS and some of the other FSA "owned" data sources.

Levels and types of activity or interventions, formal enforcement and outcomes

3.10   There are many identified sources of this type of information but the main one is LAEMS - which is a web-based system used by all Local Authorities to report food law enforcement activities to the FSA.

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[3] The LAEMS, Primary Authority and Meat Hygiene databases are all internal FSA databases. Local Authorities maintain lists of registered FBOs. Census data is available from ONS at http://www.ons.gov.uk/ons/guide-method/census/2011/index.html.   The Atlas of Deprivation for England is available from ONS at http://www.ons.gov.uk/ons/rel/regional-trends/atlas-of-deprivation--england/2010/atlas-of-deprivation-2010.html. The APHA hold a PHA list at http://www.porthealthassociation.co.uk/port_directory.php.

3.11   From LAEMS possible to obtain the following information

1. Number of Full Time Equivalent staff (FTEs) (for current year and previous years)
2. Number of Premises by Business Type (e.g. Primary Producers, Restaurants & Caterers etc)
3. Number of Interventions by Type of Intervention by Business Type
4. Number of Interventions by Rating
5. Number of Premises by Compliance Score by Risk Rating
6. Number of Premises by Risk rating by Business Type
7. Number of Enforcements Actions by action type by Business Type
8. Number of prosecutions
9. Number of convictions
10. Number of food complaints
11. Number of food hygiene complaints
12. Number of samples (by type)
13. Number of unsatisfactory samples (by type)
14. Number of unacceptable samples (by type)
15. Number of samples that lead to a prosecution
16. Percentage of broadly compliant premises
17. Percentage of interventions achieved

3.12   Other identified data sources cover aspects (sometimes in more detail) of the above list but our intention is to use LAEMS data. The 2011/12 LAEMS return was available for use and analysis in winter 2012 for comparison with the data from the survey.

3.13   Although there have been some historic issues regarding data quality of LAEMS data during the initial implementation stages on the whole LAEMS is seen to be a reliable and complete source of data on enforcement activities which have been signed off by a LA's Lead Officer for Food Services.

3.14   Local Management Information Systems have also been identified as a potential source of more detailed information of activity and outcomes. However it seems likely that detailed data from these systems is too difficult to collect via a survey (see section 5) and therefore we suggest that the use of data from such systems should be explored as part of the Case Study Project (FS616021).

3.15   It was considered that statistics on Helpline consumer calls may provide some high level information on the effectiveness of activities – the argument being that the number of contacts would be a proxy for the levels of complaints (or lack of complaints) over time. However, extreme caution would be needed in using this data because the number of calls would also be affected by the awareness of the Helpdesk and ease of contacting it – consequently a change to an authority website that had the effect of making the Helpdesk number more visible could drive up contacts whether or not the activities of the food safety teams was improving the quality of service

from businesses. If used, there would need to be significant amounts of interpretive data to provide a context for understanding changes.

Budgets and expenditure

3.16   The Department for Communities and Local Government (DCLG) and the Chartered Institute of Public Finance and Accountancy (CIPFA) jointly collects budget data for English local authorities[4].

3.17   Although there are headings with the data collection framework for Regulatory services: Food safety, budget figures are not universally supplied at this level instead the figures are reported at Regulatory services: Environmental protection level. Also, budget figures are collected for Regulatory services: Trading standards as a whole, which includes the budget for Food Standards. As part of the data review, the budget figures supplied in a small sample of Service Plans for Authorities within England were compared to the figures supplied to the DCLG/CIPFA returns and found in many instances to differ significantly (and not always consistently – i.e. DCLG figures higher for some LAs, CIPFA figures higher for others).

3.18   This discrepancy highlights the important issue of definitions; the components of a budget need to be consistent for all authorities to allow budgets (and any ratios derived from these) to be compared. It is clear that the figures available from existing data sources are not based on a consistent approach within authorities – something backed up anecdotally in the visits conducted by the project team – (see Section 5 of this report). Exploring this issue in detail was not felt to be conducive via the methodological approach taken for data collection in this project. However, the issue could usefully be explored via case study methodology.

3.19   Each Welsh LA returns budget figures and outturn figures to the Welsh Government where it is consolidated into single data source. Budgets and Outturn figures supplied by Welsh LAs are reported at the Environmental Health Services level as a whole and do not give data at the Food Safety or Food Standards level.

3.20   Each Scottish LA returns budget figures and outturn figures to the Scottish Government where it is consolidated into single data source. Budgets and Outturn figures supplied by Scottish LAs are reported at the Environmental Health Services and Trading Standards level as a whole and do not give data at the Food Safety or Food Standards level separately.

3.21   There does not appear to be any readily available suitable data source for budget figures for LAs in Northern Ireland.

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[4]   See   https://www.gov.uk/government/publications/local-authority-revenue-expenditure-and-financing-england-2012-to-2013-budget – similar budget data is held by DCLG for other years and also for Expenditure Outturn.

3.22   Local Management Information Systems have also been identified as a potential source of budget information but this data is held locally and would need to be collected. Again, it seems likely that detailed data from these systems is too difficult to collect via a survey (see section 5) and therefore we suggest that the use of data from such systems should be explored as part of the Case Study Project (FS616021).

Sources of Funding

3.23   For the purpose of official controls, sources of funding can be split into three distinct areas – centrally funded from authority budgets, grants direct from FSA and revenue from activities such as training courses and export certification.   The various branches of the FSA that fund specific projects will be able to supply information about which LA received additional funding for example through the National Co-ordinated Risk Based Food and Feed Sampling Programme or the FSA grants for the implementation of SFBB. Information on non-FSA funding may be contained in a Food Service Plan but this will vary depending on the local production of Service Plans.

Food Service Plans

3.24   Authority Food Service Plans are the only identified potential primary data source for:

   o   Departmental structure
   o   Service priority
   o   Delivery and deployment structure
   o   Range of responsibilities within Official Controls teams
   o   Job title and qualification used to deliver these
   o   Available and required resources Response to budget cuts
   o   External income streams
   o   Training & personal development
   o   Communications

3.25   Food Service Plans (sometimes given other names, e.g. Food Safety Plans) are often available to download from a LA's website although this is not always the case and sometimes the Plan available on the website is not the current plan. It should also be noted that the level of detail covered by the plans varies significantly between LAs and although it is likely that many of the plans will cover some of the information required by the review, there will be other plans which are less detailed and do not cover the required information.

3.26   There is no central repository for Food Safety/Service Plans and therefore they would need to be systematically collected and reviewed in order to obtain any of the above information. Due to the variation in detail of such plans it is unlikely that the required data would be consistently available and therefore the collection of such documents would not necessary guarantee the collection of the required data for all LAs.

Findings from Visits to LAs and PHAs

3.27 A series of 21 visits in June 2012 to LAs and PHAs across the UK to:

- o Establish the feasibility of collecting the required information;
- o Assess the potential resource implications (within the LAs/PHAs) of providing the required information;
- o Look for additional existing data sources;
- o Look for alternative or additional information to collect (essentially looking for recommendations for proxy data which might be easier to collect and/or any additional data that might add to depth of information provided by The Survey Study Project).

3.28 The visits made use of a data template (see Appendix D) – a structured list of the information required by the FSA, used both as a checklist (to ensure that each visit covered the same range of data/information) and as a means of capturing feedback from LAs/PHAs on the above questions.

3.29 The programme began with a visit by all five of the team members to a Unitary Authority in England. The purpose of that visit was to discuss a draft version of the Visits Template with the Food and Safety Unit Manager in order to review the content and structure of the template. The Visits Template was updated following this meeting.

3.30 During June individual members of the Survey Study Project Team made 20 further visits to authorities to find out more about their Food Services operation and discuss the feasibility of collecting the data outlined in the Visits Template.

3.31 The authorities were selected so that the sample covered as large a range as possible of:

- o Authority types
- o Rural/urban locations
- o Geographical locations (including all four countries of the UK)
- o Types of operation (e.g. whether services were being shared, etc.).

3.32 The Food Lead at each authority was contacted and a meeting was arranged with the Food Lead or delegated to a person within the team. During their visits the consultants from the team used the Visits Template to structure their conversations about the feasibility of the data collection. Each visit also provided an insight into the way the authority conducted its Food Service operations. The findings from each visit were written up and analysed subsequently to arrive at the overall findings documented below. The detailed notes are not included here but have been made available to FSA.

General Comments

3.33   The visits were very useful, both in terms of clarifying the ease of data collection and in terms of revising the way in which any data should be collected:

- o Suggestions were made for additional information to collect that would add value to the information that had already been identified
- o Changes were suggested to the way the information to be collected was ordered and grouped, reflecting the authorities' perspective on how it all fitted together.

3.34   In general the authorities we visited were willing to provide data via a survey. Some were very keen to be involved, as they viewed their involvement as an essential part of getting their message across to the FSA. A few did suggest that the amount of effort required to complete the survey would heavily influence whether they responded. Our suggestion to them that the survey be presented to them as a set of 'mini-surveys', each of which could be completed individually, was received well.

3.35   In general, the suggestion that the survey be web-based was also well received. The ability to allow a number of different people to access the survey (though not at the same time), to complete different parts of it, would be beneficial.

Anonymity

3.36   All but one of the authorities were willing to be identified as the providers of the data.   The remaining authority was reluctant to divulge financial information that might be reported, misinterpreted and used to justify cuts to their services.   The concerns regarding anonymity of survey responses were due to the fact that some of the data requested may be sensitive and this may discourage response from some authorities or could lead to some authorities giving inaccurate responses. There were also concerns that, particularly for small authorities, any individual responses may allow for the identification of specific individuals.

Organisation

3.37   Organisation charts were readily available, either in Food Service Plans or elsewhere. The organisation charts were usually up to date and accurate although in some authorities undergoing reorganisation these may not be available for the new structures being put in place. The usefulness of such charts for data analysis was questioned (correctly) by some. It was suggested that our needs would be better met by asking more direct questions about levels of responsibility and reporting lines.

Food Service Plans and the Planning Process

3.38   Service Plans were available from each authority. The annual service planning process is usually the first time that forecasts of budgets, staffing complements, activity volumes, etc. are considered. The planning process usually starts in September when the Authority budget is settled. Food Service planning typically starts in October with a view to agreement by the end of the financial year. Food Service Plans are not normally ratified until the early months of the financial year to which they pertain. That is Food Service Plans for 2012/13 would normally not be ratified until the summer of 2012 and information required for 2013/14 would often not be available until the following summer.

Food Service Budgets and Actual Spend

3.39   There were a number of important findings regarding budgetary data:

- o Budgets are not usually set or managed at the Food Services level. They are usually set at Trading Standards, Environmental Health or Regulatory Services level. As a result many authorities would not be able to provide budgetary or spend information specific to Food Services without either:
  - o Applying subjective judgement
  - o Developing an estimation model based on any data that is available
- o The timescales for the annual planning process meant that budgetary data for 2013-14 is unlikely to be available at the time the survey will be conducted
- o Centrally managed budgets for HR, IT, etc. can usually be apportioned down to the level at which the budget is set, but again it would be very difficult in general to provide these at a Food Services level.

3.40   Clearly there were some authorities where budgets are available at the Food Hygiene/Standards level and this data can be collected. Where the data isn't readily available it may be possible to use other parameters to disaggregate higher level budgets – FTE allocations for example. The extent to which staff allocations can be directly attributed to given areas of work will determine just how effectively these factors/proxies can be used – if the service delivery methods for an authority see significant amounts of combined working (with food hygiene visits, say, also automatically involving food standards, health and safety or other regulatory services) it may be hard to assign resources to given areas with confidence, making these less valuable as a means of disaggregating data. There may therefore be a need to look at budget and expenditure in detail via a case study methodology.

3.41   When collecting any form of budget breakdown authorities made it clear that the components of the breakdown should be very well defined, leaving no room for misinterpretation.

Prioritisation of Food Services Within the Authority

3.42   Authorities indicated that this information could be provided.

Operating Model

3.43   Service Plans and Enforcement Policy documents were seen as the prime sources of information on the processes/activities contained in this section. Any descriptive information not contained in those documents could be provided. LAEMS was viewed as the best source of output and outcome information.

Joint Working

3.44   Authorities indicated that this information could be provided. The joint working arrangements within some visited authorities provided further 'food for thought' regarding the structure of any survey questionnaire. Some authorities had already agreed with FSA that only one LAEMS return would be submitted (not one for each of the constituent authorities) and we can assume that such authorities will be looking to provide only one survey return. The survey questionnaire needs, therefore, to be capable of collect relevant data on the constituent authorities. For example, should % budget cuts be collected for each of the constituent authorities?

Staff Qualification vs. Role

3.45   The authorities visited could provide details of staff qualifications and competencies. It was agreed that it would be useful to categorise this by staff grade and to have some method of collating this to activities.

3.46   Very few authorities could provide a detailed breakdown of FTE by risk rating, activity type, etc. A small number of authorities said that they had data in their systems that might be used to determine those figures, but that the effort required to extract this would be considerable and hence it was unlikely to be provided as part of a survey response. It was suggested that an alternate methodology, such as a case study would provide more opportunity to explore this and we suggest that it could be included within the Case Study Project.

Budget Changes and Impact on Activity

3.47   These areas solicited a variety of responses from authorities. The majority thought that budget changes at an authority level could be provided and that historical data could be provided at whatever level the budget containing the Food Services allocation was set. Previous sections have already referred to the issues regarding budgets at the Food Services level. In general, future cuts at an authority level are likely to have been forecasted and to be available. Cuts do not normally cascade down to the lower levels of the organisation until the annual planning process is performed and are unlikely, in many cases, to be available for 2013-14.

3.48   A breakdown of cuts by measure was considered by many to be too complicated and onerous to complete (particularly those not specific to the Food Services team(s) or its (their) parent group(s) within the authority). In general, those visited thought that it was difficult to measure or predict the impact of any cuts because so many other factors also influence performance:

- o Long-term sickness
- o Events such as the Olympics
- o The number of new businesses during any year
- o The number of incidents that occur
- o The number of prosecutions that have to be supported.

3.49   A more detailed assessment of the impact of budgetary changes on activity could be explored as part of the Case Study Project.

Sources of External Funding

3.50   Information in this section could be provided. A number of points were made:

- o The FSA is a major source of external funding and should already have data on what has been provided
- o Some budgets are set with the assumption that a specific amount of income will be received from training courses, for example, or for export certification. The actual income that comes in is then processed centrally
- o One authority was in the process of attempting to obtain funds from a Proceeds of Crime action resulting from a prosecution (the prosecuting authority is entitled to a percentage). They thought that this would happen more often in the future.

Development and Recruitment

3.51   The development and recruitment questions could be answered by all of the authorities visited.

3.52   In many of the authorities visited recruitment is embargoed with any replacement staff having to be sourced internally. In others recruitment could still occur, but only if a strong enough case was made. LA officers expressed a concern that non-replacement and the increased use of more junior staff would lead to a dilution of skills.

Communications

3.53   Details of the communication mechanisms that are in place could be provided but questions were raised as to what the purpose of the data was. Many commented that it would be better to form questions that targeted the effectiveness of communications, rather than the mechanisms themselves. It

was felt that this required more qualitative exploration than was possible in the proposed survey and we recommend that if this component of the work is taken forward other data gathering methods (such as case studies or workshops) are used to explore it.

Country-Specific Information

3.54   It became evident from the visit meetings that there are significant differences between authorities in different countries. The questionnaire design would need to reflect this, potentially with different question variants for different countries. Northern Ireland authorities are not subject to CSR cuts, for example, but are likely to face budget pressures as a result of the review and restructuring of the organisation of public administration in NI.

Local Management Information Systems

3.55   Various management information systems were being used (or in some cases being procured) by the authorities to support their Food Services operations (e.g. IDOX, FLARE). Even where authorities are using common core systems the actual implementations of the systems vary due, for example, to each having an authority specific coding schema against which data is entered.

Gap Analysis - Summary

3.56   Outlined in Appendix F is a revised list of data requirements, developed by combining the requirements identified in the initial data review with the feedback from the LA/PHA visits. The initial list of data requirements was amended to reflect the findings of the LA/PHA visits in terms of data collection feasibility; appropriateness of the data requirements to regional context (for the devolved countries) and views from LAs/PHAs on what would provide meaningful information.

3.57   Very little of the required data is available from existing sources. The exceptions to this are:

  o Descriptive statistics for the LAs/PHAs (demographic and geographic data) which is readily available from a range of published sources.
  o LAEMS which will provide a useful source for volumetric and outcome data for the range of activities listed in the operating model section.
  o The Service Plans (and Enforcement Policies) should also provide a useful source of data – particularly for budgets and operating models - but:
      o It is not the case that all authorities have ratified Service Plans for 2012/13
      o The depth of information held in these is very variable.

3.58   The findings of the data gap analysis can therefore be summarised as follows:

- o Size of the gap
  - o This implies that, on the assumption that RDOC needs an accurate picture of the delivery of controls in 2012/13, the data gap is large
  - o The LAEMS extract due to be available by late 2012 will provide useful volumetric data
  - o Service Plans should provide useful information for authorities to draw on in completing a survey, but their availability/currency cannot be assumed.
- o Ability of LAs/PHAs to deliver the data to fill this gap via a survey:
  - o Regional differences are vital to reflect
  - o Not all information is relevant for all authorities – but the majority is
  - o Most information can be readily supplied by most authorities
  - o The current changes being taken forward by authorities are starting to produce some potentially complex sharing/outsourcing of services. This will also require decisions to be made on the level at which data collection is performed and may also have implications for the structuring of the data collection and analysis
  - o We may need to make most (if not all) data collection via a survey optional to reflect the above points – this will also ensure that authorities do not feel over-burdened.

Data collection methods – what data should be collected using a different methodology?

3.59 As the earlier analysis of existing data and the feedback from the LA/PHA visits shows, not all of the information/data outlined in Appendix F is readily amenable to collection via a survey:

- o some base data is not collected by all authorities; and
- o some data is not collected against consistent definitions.

3.60 The activity costing breakdown is a prime example of the first case. The visits identified that relatively few authorities collect detailed information on the effort usage of their teams. A proportion of the authorities visited did make use of timesheet systems which offer the potential to get a split of the staff effort (and therefore the associated staff costs) for the various activities. However, it may be the case that, even for those authorities with this data, the detail is still not available – because, for example, the staff undertake other EH activities while inspecting premises but only record their time against food hygiene activities.

3.61 Clearly accurate costing of the activities would also require the inclusion of costs other than pure salary costs. The range of ways in which budgets/expenditure are recorded and presented means that this data would also need very careful handling to provide a consistent way of reporting them – reflecting the second point above.

3.62   It is therefore highly unlikely that the activity costing information required to support the options appraisal component of the RDOC programme could be collected in a usable manner simply by asking LAs/PHAs to provide it via a survey. However, it was felt that the base data did exist (at least for some LAs and PHAs) and that, with suitable support from the FSA, this data could be collected and used to provide at least illustrative information for the programme.

3.63   Equally there may be other perspectives or local context that would be gained utilising a case study methodology where interviews include non technical staff – for example Finance and HR staff.

3.64   As outlined earlier a Case Study Project was planned by the FSA, to be undertaken in Autumn/Winter of 2012/13. The planned Case Study Project involved a series of longer visits (typically 3 days with each LA/PHA) during which in-depth data collection (through interviews, document review and observation) took place. The Case Study Project will provide the opportunity to collect those data that have been identified as necessary to support RDOC programme but are felt to be too difficult/onerous to collect via the Survey Study Project survey.

3.65   The following information requirements from Appendix C were recommended to be collected through the Case Study Project (FS616021) rather than The Survey Study Project.

Operating Model
o For each of
- o Inspections
- o Intervention profile
- o Complaints/Intelligence & Policy
- o Business Advice and Education
- o Internal Review/Audit
- o Enforcement and Prosecutions
- o Primary Authority & Home Authority role
- o Legal Services (any volumes and success rate information as well)
- o Laboratory Services
- o Sampling Services
- o Approvals
- o Export Certification
- o Imports
- o Public Health
- o Outbreak and Incident Management
- o Contact Materials (if appropriate)
- o Vessels/Offshore (if appropriate)
- o Management Information
- o Performance Monitoring and Risk Assessment
- o Quality Assurance and Continuous improvement
- o Out of Hours Food Service
o The following information – where appropriate:

- o If the activity is delivered as per CoP
- o Textual description
- o Specific additional information

Staff Qualification v Role
- o Workflow data and analysis to provide illustrative activity costings

Budgets
- o Budgeting process
- o Use of Local Management Information Systems

Planned Changes and Expected Impacts
- o The direct impact of the measures on Food Standards and Food Hygiene for each of the measures identified
- o The indirect impact of the measures on Food Standards and Food Hygiene for each of the measures identified

4.   Survey Design and Implementation

Survey format and design considerations

4.1   Following the work undertaken to identify the data gap and feasibility visits to LAs it was decided that an online survey would be used to collect the required data from LAs and PHAs. The design and implementation of the survey was driven by the need to:

- o reduce the burden for respondents;
- o reflect the differences across the UK;
- o keep the information secure;
- o reflect the different organisational structures/models employed by LAs and PHAs; and
- o reduce the need for support for respondents.

4.2   To reduce the burden on respondents we decided to:

- o implement the survey as an online survey;
- o make the survey modular
- o allow respondents to attach and refer to existing documents (Service Plans, for example) where answers could be provided from these documents; (the HMcM/QV project team will extract this data)
- o allow partially completed responses to be revised/extended until the closing date of the survey; and
- o make very few of the questions compulsory to answer.

4.3   An online survey has been shown to be a popular and effective method for collecting data from LAs. It also helps the project team by collecting responses directly into a database.

4.4   The LA/PHA visits identified that authorities often have data available in standard documents – it therefore was logical to allow references to these to be used as responses, with the documents themselves attached to the response. However, the survey ensured that respondents identified where in the documents the required information is held (by indicating a page and paragraph) and it was considered that extracting the information itself may have been simpler. The option was offered where appropriate.

4.5   We considered it likely that respondents would want flexibility in the way that the questionnaire could be completed and were likely to want it implemented such that it could be filled in by more than one person and/or in more than session. The implementation supported this.

4.6   The LA visits identified that (assuming the authorities involved were representative) respondents were generally willing to identify their authority (there was no need to identify the individual(s) completing the survey). This

identification was also required to allow data from other sources (LAEMS, for example) to be synthesised with survey responses. However, if information is to be collected which is specific to the authorities, this must be held securely. To achieve this, the survey was implemented such that:

- access was controlled and restricted to authorised users only; and
- it was only possible for individual responding authorities to see their own data.

4.7   It was clear that there are regional variations in terms of the structure and operation of LAs as well as in the budget pressures that they face at present. There are also a range of operational models in use (or planned). These variations mean that, although there is a core of information which is common across the UK, the questionnaire needed to be able to deal with variations where these exist. Therefore a set of questions were included at the start of the questionnaire which were used to customise the wording and appearance of the rest of the survey. These initial questions needed to be answered before the questionnaire could be customised and were therefore made compulsory for respondents to answer.

4.8   However, to reduce the burden on respondents, all subsequent questions were optional, allowing respondents to answer those for which they could reasonably provide information. The questionnaire and supporting material did however encourage full responses.

4.9   The questionnaire included extensive information to ensure that questions were clear (including definitions of terms used, where appropriate) and made use of hover-over help to ensure that the amount of text on screen at any one time was managed.

4.10   Clearly, removing potential ambiguity from the questionnaire should reduce inconsistency from the responses received but there are other sources of inconsistency that were considered in the survey design:

- innate ambiguity (where a term such as "budget" is used – and potentially defined – but local usage overrides this definition) – this is very hard to overcome but the interviews of the Case Study Project (FS 616021) will provide an opportunity to test the consistency of interpretation for a sample of authorities;
- un-notified substitutions (where a respondent does not have the data requested but substitutes other data without notifying the project) – very similar to the first bullet point above, though there may be some internal consistency checks (perhaps ratios – say, budget per FTE) which can be used to identify cases where the data looks atypical and might be checked;
- opinion-based responses (where different respondents score issues which they would consider their views on to be consistent in different ways) – this is almost impossible to remove, particularly where there is scope for several people to work on each response. Attitudinal data will

have to be presented with caveats that highlight that opinion-based data has to be interpreted carefully.

4.11   Ultimately, however, consistency of response is improved by good unambiguous question design, is checked for (where possible) by looking at general patterns and ratios and is supported through the use of follow-up questions, primarily in the Case Study Project (FS 616021) interviews.

Survey Development

4.12   The process for the design and implementation of the survey was as follows:

- o   A paper-based questionnaire was drawn up and circulated for review by FSA staff and a selection of authorities;
- o   The revised questionnaire was implemented using the Classapps SelectSurvey software – hosted on the Hartley McMaster secure server;
- o   Five LAs (one of which had responsibility for a PHA) were asked to trial the survey – testing for both content and IT-related issues;
- o   Following revisions to the online survey, a web site was developed to provide information and help for the survey (www.rdocsurvey.org.uk);
- o   FSA emailed all UK LAs to introduce the survey to senior managers and used regional liaison groups to publicise the survey;
- o   Hartley McMaster drew up a list of contacts in each LA/PHA and sent an introductory email (using this to identify any incorrect contact details).

4.13   Although the survey was intended to be delivered using an online electronic questionnaire, the initial review – to get the basic layout and wording correct was handled through circulating a paper-based version of the survey.

4.14   Once this review had been completed, the questionnaire was implemented using the SelectSurvey software package. This package was used after successful previous surveys run by HMcM for UK police forces – which indicated not only that the software was robust but that it could be accessed over UK government networks.

4.15   Five of the 20 LAs which had been involved in the earlier round of visits were asked to pilot the survey, testing it for access, functionality and ease of use. The piloting went smoothly without any changes requested.

4.16   To provide part of the support for the survey a website was created to provide access to the online questionnaire. The website provided contact details for support, offered full instructions for the survey and had a Frequently Asked Questions section to provide quick answers to key questions. The website and questionnaire were hosted on the HMcM secure servers.

4.17   To pave the way for the survey (and to help indicate that it was a bona fide exercise), FSA wrote to all Chief Executives of UK LAs and informed their liaison network of the details of the survey.

4.18   HMcM procured a distribution list for Heads of Service for food teams for all UK LAs[5]. HoSs were selected as the visits had identified that they would be the most effective point of contact – most would complete the survey themselves and, if not, would delegate the task. An initial email was sent to introduce the survey – this also acted as a means of checking the email addresses to be used for the official launch.

4.19   The survey was configured to:

  o customise the questions dynamically to those relevant to each respondent (on a regional and functional basis – for example reflecting the different organisational structure in Northern Ireland and skipping Food Standards related questions for those LAs which did not have a Food Standards service;
  o require each respondent to have a unique username and password;
  o allow respondents to save partial responses and fill in the questionnaire over multiple sessions;
  o minimise the number of mandatory questions (kept to less than 10%);
  o offer useful default values where appropriate;
  o provide on-screen help.

4.20   A copy of the online survey is included in Appendix H.

Implementation

4.21   The survey went live on Friday 14th September, with e-mails being sent to a list of contacts with login details and information regarding how to access the survey. The initial survey deadline was Friday 19th October was later extended to Friday 2nd November to ensure that all authorities were aware of the survey and had sufficient time to respond.

4.22   Survey Support was delivered via e-mail (via rdocsurvey@hmcm.co.uk) and telephone support to any authority requiring assistance.

4.23   During the period 14th September to 2nd November 2012 Hartley McMaster received and responded to 736 e-mails requesting support. A record of the number of phone calls received was not kept but the level of phone calls followed a similar pattern to the number of e-mails received. The 736 e-mails included both e-mails forwarded from the FSA and e-mails received directly from authorities.

4.24   The support requests received fell into four broad categories:

  o Problems with contacts
    o Request for login details
    o Request to change login details to a different person

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[5] Binleys Directory of Local Government Management (www.binleys.com) was used, with the AHPA Handbook for 2012 providing separate contact details for PHAs.

- o User problems
  - o Problems logging in for the first time
  - o Request for Survey ID
  - o Forgotten password words
  - o Request to unlock submitted surveys
  - o Multiple accounts with same e-mail address
  - o Number format issues
- o Software/Hardware problems
  - o Time out issues
  - o Queries regarding uploading files
  - o Navigation queries and issues
  - o Printing queries
- o Questionnaire clarification problems
  - o Question clarification
  - o Request for PDF version of questionnaire

4.25   Details of the support requests are included as Appendix I.

4.26   The analysis of the support requests showed that:

- o inaccuracies in the contacts list were the cause of many of the support calls (and caused work for both the project team and the FSA RDOC team);
- o user error was the main cause of the rest of the support calls;
- o the FAQ page was clearly not read by most users;
- o there were a few minor hardware and software problems but these did not impact on response rates;
- o there were very few support calls/emails requesting help understanding questions.

4.27   The initial contact list inevitably included some inaccuracies. Some staff had moved post within an authority – these were quickly resolved as the contacts received the invitation email and responded with a correction. Other inaccuracies were picked up through undeliverable invitations – again these could be identified and replaced. The most problematic were those where no response was received – it was impossible to tell if the contact addresses were wrong or if the invitation had been received.

4.28   To ensure that all authorities had the chance to take part, the RDOC team used their internal contact lists and their regional liaison teams to check that each authority that had not responded had received the invitation. In some cases this required extensions for completing the survey to be granted, but all authorities had te chance to take part.

4.29   It was therefore felt that the use of the online survey was effective and caused few problems for users.

5.   Data Cleansing and Synthesis

5.1   Following the close of the survey, responses were examined to identify any issues within the dataset and clean the dataset prior to analysis.

5.2   A number of data quality issues were identified. These fell into a number of categories:

- o   Identification of outliers (i.e. very high or very low figures);
- o   Inconsistent data within a response (e.g. End Pay range figure lower than Start Pay range figure);
- o   Potential misinterpretation of question or inability to answer question (e.g. inability to split FTEs by service);
- o   Low response rate to certain questions when split by another factor (e.g. country).

5.3   These issues related to a number of different questions including the following

- o   Pay Range data
- o   FTE & Vacancies data
- o   Number of training places
- o   Number of Posts
- o   Budget data
- o   Number of approved premises
- o   Export Certification volumes
- o   Outbreak and Incident Management volumes

5.4   These data quality issues were documented in a data quality issues register. Once this task was completed, the first stage undertaken to resolve these issues was for the Hartley McMaster team to check the initial survey response to eliminate data importing problems. Then, the team contacted each authority (if the authority had given permission for follow-up contacts) by e-mail to seek clarification. Following clarification, the data was updated if required. If no clarification was received, the queried data was excluded from the data set and any subsequent analysis.

5.5   FSA supplied an extract from the LAEMS system and the Hartley McMaster team obtained extracts from various sources.

- o   DCLG/ONS budget figures (REVENUE ACCOUNT BUDGET 2012-13 – available at
  http://www.communities.gov.uk/publications/corporate/statistics/revenue201213budget

- o   a range of geographical/demographical characterisation statistics and parameters from ONS including

  - o   Rural/Urban Classification

- http://www.ons.gov.uk/ons/guide-method/geography/products/area-classifications/rural-urban-definition-and-la/rural-urban-local-authority--la--classification--england-/index.html

  o Population Figures

  - http://www.ons.gov.uk/ons/guide-method/method-quality/specific/population-and-migration/an-overview-of-ons-s-population-statistics/index.html

5.6 These were combined with the data collected through the survey to provide the FSA with a single database holding all the data.

5.7 It is worth reporting that one of the time consuming aspects of the data synthesis was matching the authority descriptors used in each dataset. Although a number of LA codes are used in individual datasets, many lists make use of authority names and, inevitably, there are minor differences in the wording or format of these which required the team to check each list and manually to resolve the differences between them. This was somewhat complicated by the ongoing changes in LA structures – with some LAs opting to merge and others to reverse previous mergers. There were also a small number of instances where authorities are sharing services and therefore one LA would respond on behalf of 1 (or more) others – there are also some authorities using a shared regulatory service team for some or all of their food safety or food standards services.

6.   The Response Rate

6.1   The sample for the survey was self-selecting. As such the survey results will need to be examined for bias and used carefully. This section considers the response rate achieved in the survey and the characteristics of the responding authorities in comparison to the national level characteristics – to assess the extent to which the survey responses are representative of the country as a whole.

The Response Rate

6.2   The survey achieved a very creditable response rate of 67% - 71% of LAs/PHAs started the survey but a small number did not complete and did not give permission for their partial responses to be used. Figure 6.1 below shows the rate at which responses were started and submitted for the survey. It should be noted that a number of responses were started but not completed/submitted. In these cases, the authorities were contacted directly and asked for permission to use their partial responses. Not all authorities gave their permission giving a final response rate for the survey that lies between the two curves in figure 6.1.

Figure 6.1 – Survey response rates over time
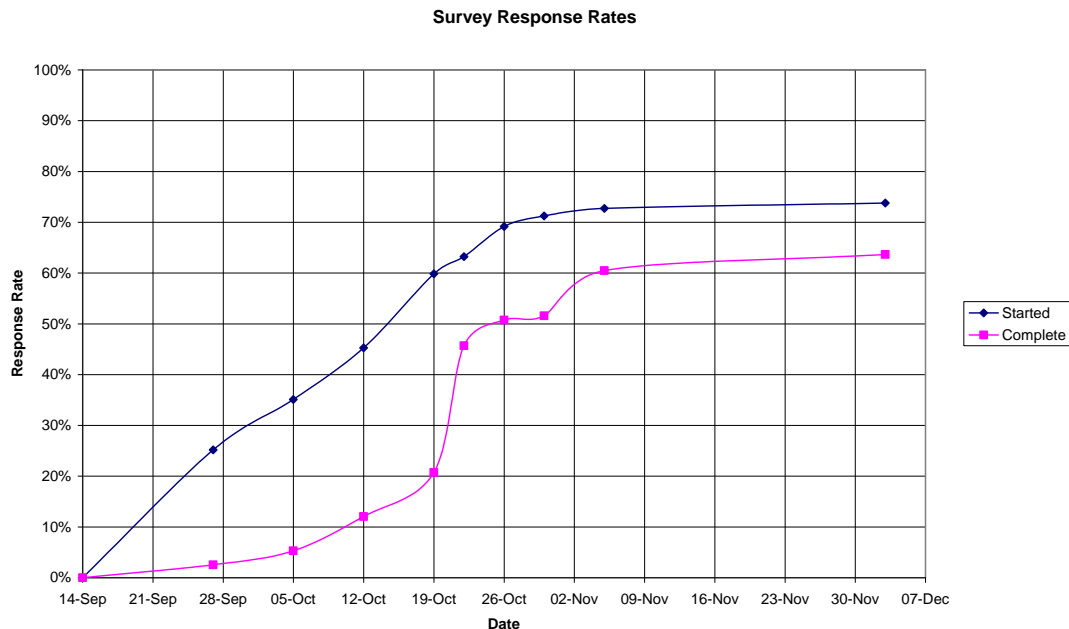
6.3   The response rate for the survey was extremely high, considering that:

- o the survey was voluntary;
- o the questionnaire typically took 2 hours to fill in and authorities would need to spend considerable time before this collecting data (it was

reported by some authorities that the survey required a day of effort to complete); and

    o   there was evidence from authorities that food safety teams were (at least initially) concerned of the way in which any information supplied would be used.

6.4   On the latter point, there was a feeling in some authorities that data (particularly finance data) required broader contextual data to be used with it to understand it correctly. Consequently, providing this data through a survey raised concerns that the contextual aspects might not be understood in any subsequent analysis. The FSA project team provided reassurance on the use of the data but some authorities chose not to complete the finance sections of the questionnaire.

Representativeness of the Respondents

6.5   A key question for the survey was the coverage of responses across UK Authorities and the extent to which the responses were representative of the national situation.

Regional representativeness

6.6   The profile of responses by country and for the English Regions are shown in tables 6.2 and 6.3. The response rate was calculated using the number of authorised responses - which is the number of submitted responses plus the partial responses where permission was sought and given to use the information supplied.

6.7   As can be seen, the response rates were high over the whole of the UK (the 97% response rate in Northern Ireland was very impressive), with the rate for England – 67% - being the lowest. With far more authorities in England than in Wales, Scotland and Northern Ireland, the response rate for England dominates the figures. The response rates across England were also generally very similar – suggesting that there should be no significant regional bias in the responses.

6.8   As can be seen in tables 6.2 and 6.3 the percentage profile of all authorities is very similar to that of the authorised responding authorities reinforcing the suggestion that there is no significant regional bias. In both Table 6.2 and 6.3 the profiles (ie the percentage of authorities in each of the four countries) are very similar for both the National profile and the Survey profile reinforcing the suggestion that there is no significant regional bias.

Table 6.2 – Survey Response Rates by Country

Country	National Profile[3]	Survey Profile[4]	Response Rate
Scotland	7%	8%	81%
Wales	5%	6%	78%
Northern Ireland	7%	9%	97%
England	81%	76%	67%
Total	100%	100%	71%

[3]National Profile – the percentage of local authorities that lie within each country
[4]Survey Profile – the percentage of local authorities that replied to the survey that lie within each country

Table 6.3 – Survey Response Rates by English Region

English Region	Profile of English Authorities[5]	Survey Profile[6]	Response Rate
East of England	15%	14%	62%
East Midlands	13%	15%	80%
Greater London	9%	9%	64%
North East England	3%	4%	83%
North West England	12%	12%	71%
South East England	21%	19%	62%
South West England	12%	11%	63%
West Midlands	9%	8%	58%
Yorkshire and Humberside	6%	8%	82%
England Total	*100%*	100%	67%

[5]Profile of English Authorities – the percentage of local authorities within England that lie within each region

[6]Survey Profile – the percentage of local authorities that replied to the survey that lie within each English region

Representativeness – Authority type, rural/urban mix and population and FBO coverage

6.9   As can be seen in Table 6.4 good response rates were achieved from all the different types of local authorities across the UK – generally response rates were above 60%, the exception being for English Unitary Authorities where the lowest response rate of 50% was seen. Comparing the national profile to the survey profile by authority type shows that the response rates for each type of authority were close to the overall response rate and that the profiles were very similar – suggesting that there is no bias in terms of the type of authority. Note that in Table 6.4 the PHAs and Northern Ireland Group level responses have been excluded – the figures therefore differ slightly from those in Table 6.2 where both are included.

Table 6.4 – Response Rate By Authority Type

Authority Type	National Profile[7]	Survey Profile[8]	Response Rate
District	53%	51%	68%
London Borough	8%	7%	64%
Metropolitan Borough Council	8%	10%	81%
English Unitary	7%	5%	50%
NI Authority	6%	8%	97%
Welsh Authority	5%	6%	78%
Scottish Authority	7%	8%	81%
County Council	6%	6%	67%
Total	100%	100%	67%

[7] National Profile – the percentage of local authorities that lie within each authority type

[8] Survey Profile – the percentage of local authorities that responded to the survey that lie within each authority type

6.10   The response rates and profiles in terms of the designation of the urban/rural mix of the authority are shown in Table 6.59. This analysis is based only on responses for English LAs (excluding County Councils) as designation data was not available for non-English LAs and for English County Councils. As can be seen response rates across the full range of rural/urban area types are high – between 64-75%. Again, the response rate and national and survey profiles is very similar for each category, suggesting that the data is representative of the different urban/rural mixes.

Table 6.5 – Response Rate By Area Type (English Authorities)

Area Type	Profile of English Authorities[9]	Survey Profile[10]	Response Rate for Group
Major Urban	22%	22%	66%
Large Urban	12%	12%	64%
Other Urban	18%	18%	66%
Significant Rural	17%	19%	75%
Rural 50%	15%	15%	67%
Rural 80%	17%	16%	62%
Total	100%	100%	67%

[9] Profile of English Authorities – the percentage of local authorities within England that lie within each urban rural classification

[10] Survey Profile – the percentage of local authorities that responded to the survey that lie within each urban rural classification

6.11   The analysis of representativeness in terms of population coverage is presented in tables 6.6 - 6.8. As can be seen, the 67% response rate for the survey covered 71% of the UK population (table 6.6). Analysis by population bands shows that the response rates across the different size authorities (in terms of population) was high and matched the national profile of authorities in these categories (table 6.7). English County Councils were excluded from

this analysis to avoid double counting. However the 67% survey response rate covered 72% of the population of the County Councils (table 6.8).

Table 6.6 – National Population Covered By Responses

Total UK Population	63,181,775
Population covered by Survey	44,942,997
Population coverage	71%

Table 6.7 – Response Rate By Population Size

Population Size	National Profile[11]	Survey Profile[12]	Response Rate for Group
0,000 to 100,000	34%	33%	68%
100,000 to 200,000	42%	42%	71%
200,000 to 300,000	14%	15%	77%
Greater than 300,000	10%	9%	65%
Total	*100%*	*100%*	

[11]National Profile – the percentage of local authorities that lie within the given population size groupings

[12]Survey Profile – the percentage of local authorities that responded to the survey that lie within the given population size groupings

Table 6.8 – County Council Population Covered By Responses

County Council Population	21,251,019
Survey Coverage	15,367,284
	72%

6.12   Table 6.9 shows the survey coverage in terms of numbers of Food Business Operators (FBOs) within the authorities that responded to the survey compared to the national totals of FBOs. As can be seen coverage rates across the different types of premises type are high – ranging from 64 too 100%. The high coverage rates for each category suggests that the data is representative in terms of the coverage across FBO premises type.

Table 6.9 – Response Rate by Premises Type

Premises Type	Number of Authorities in Survey	Number of Authorities from LAEMS	Coverage
Distributors/Transporters : Rated	4190	5605	75%
Distributors/Transporters : Unrated/Outside	564	844	67%
Importers/Exporters : Rated	417	583	72%
Importers/Exporters : Unrated/Outside	114	210	54%
Manufacturers and Packers : Rated	8589	11488	75%
Manufacturers and Packers : Unrated/Outside	852	1220	70%

Premises Type	Number of Authorities in Survey	Number of Authorities from LAEMS	Coverage
Primary producers : Rated	2350	2705	87%
Primary producers : Unrated/Outside	1558	1646	95%
Restaurants and Caterers : Rated	200635	275951	73%
Restaurants and Caterers : Unrated/Outside	16739	23689	71%
Retailers : Rated	63933	86846	74%
Retailers : Unrated/Outside	4752	6685	71%
Total	304693	417472	73%

Representativeness – comparison with LAEMS data on outcome measures and staff resource

6.13   Utilising data from the FSA LAEMS database it has been possible to assess the representativeness of the survey respondents in terms of both outcome measures (table 6.10) and staff resource (table 6.11).   The outcome measure used was the broad compliance figures from LAEMS - this is a measure of the number of FBOs within an authority's area of responsibility that are rated as broadly compliant within the year (in this case data is relates to 2011/12). Comparing the average broad compliance for the responding authorities with the national averages shows these are very close – this would be expected for Wales, Scotland and Northern Ireland where response rates are very high but for England, it also suggests that the responses received reflect the range of outcome levels at a national level.

6.14   Similarly comparing the team size distributions for the responding authorities with those for the complete set of LAEMS responses (effectively the national picture) shows the distributions (for both administrative and technical staff) are virtually identical. This indicates that the respondents were representative of the full population in terms of team size (table 6.11).

Table 6.10 – Broad Compliance Comparison

	Broad Compliance (%)	
Country	All Authorities	Survey respondents
Scotland	86.1%	86.9%
Wales	82.6%	83.1%
Northern Ireland	90.9%	90.6%
England	90.0%	89.8%
UK	89.4%	89.3%

Table 6.11 –Team Size Distribution – LAEMS v Survey

Team Size (FTE)	All LAEMS Data – Admin Staff	All LAEMS Data – Professional Staff	Survey Responses– Admin Staff	Survey Responses – Professional Staff
0-1.9	12%	0%	12%	0%
2.0-3.9	83%	17%	81%	16%
4.0-5.9	5%	41%	6%	40%

6.0-7.9	1%	19%	1%	19%
8.0-9.9	0%	10%	0%	10%
>=10.0	0%	6%	0%	6%

6.15   The response rates for each question in the survey are contained in Appendix J (Table J-050). The response rates for the majority of questions are very high. The questions where the response rates for a given question was low fall into three categories. The first category where the response rate was low was for questions that did not apply to all respondents of the survey. For example question 5 and 6 which relate to the survey being completed by or behalf of another authority. The second category of questions was the questions that asked for the user to upload a document to the survey. Approximately only half of users uploaded documents. The final category where the response rate was low was for questions that required actual figures and for some authorities this questions proved challenging. Within this category, the response rates were relatively low (between 40% and 80%) for the following questions

- o Food Standards Budget
- o Food Standards Budget Items
- o Food Hygiene Budget Items
- o Percentage Change to Budget
- o Food Standards - Admin Staff Numbers (the response rate may be low due to groups not having any admin staff)
- o Food Standards Pay Range
- o Impact Ranking
- o Volumes

6.16   In summary:

- o The response rate was high across the UK – higher in Wales, Scotland and Northern Ireland than England; and
- o The group of responding authorities are representative of the national profile of authorities.

7. Analysis Against The Research Objectives

7.1 This section considers what the analysis of the survey responses can provide in terms of answers and evidence to meet the requirements of the research.

7.2 It should be noted that a key deliverable from the project is the information database (combining the external data with the responses from the survey). This provides the FSA and the RDOC Programme team with a dataset that can be used to understand specific aspects of the delivery of OCs. The following analysis is offered both to provide an initial description of the current situation and as an illustration of the depth of information available to FSA.

7.3 A set of reference tables is included as Appendix J. The tables in this section are drawn from those in this appendix.

7.4 The project requirement stated that:

"The objectives are to:
- o describe the current structures, models and modes of Official Controls delivery within each UK LA and PHA
- o identify the type and scale of interactions between Official Control delivery and other areas of responsibility and activity within an Authority
- o determine how LAs and PHAs think these might change over the course of current budgetary settlements across the UK."

7.5 The requirements were broken down into six specific research objectives, as outlined in Chapter 1, and an analysis is presented against the first five of these objectives. A selection of the tables and charts generated from this analysis are included in this section – but reference will also be made to the full set of outputs included in Appendix J.

7.6 Following a review of the size of the survey questionnaire during the survey development phase of the project, it was agreed with the FSA to remove questions covering research objective 6 and to explore this area in the parallel Case study project. This Specific Research Requirement stated that the research should:

"Elicit attitudes from LAs and PHAs on the level and quality of central government support for LA/PHA delivery of Official Controls and on where and how improvements might be made in delivery."

Specific Research Objective 1

7.7 This Specific Research Requirement stated that the research should,

"Document the current approaches, structures, models and modes adopted by LAs and PHAs to deliver Official Controls in the UK. This should cover the legal, regulatory, administrative, financial, structural and management domains. Consideration must be given to:

1) the organisation of Official Controls delivery teams, the supporting structure and governance arrangements;
2) Available resources in terms of people, budgets and sources of funding for Official Control delivery, back office and other support provided outside of the teams and associated costs ;
3) Areas of responsibility within Official Control teams in competent authorities, including other functions that are delivered along with food and feed Official Control duties by the team or by individual officers on visits to food and feed businesses;
4) Levels/type of activity, intervention, enforcement undertaken and outcomes;
5) Details of any income streams related to any of the 'Official Control' activities carried out by local authorities."

Organisation, Supporting Structure and Governance

7.8   The profile of the authority types of the respondents where permission was given to use their responses for analysis is shown in Table 7.1. For Northern Ireland, a range of food safety functions are undertaken at Group level – with 4 Groups (North, East, South, West) supporting the LAs. It was decided that these Groups should submit separate responses (and responses were received from all 4). For other analyses in this report by Authority Type, the responses from these groups will be included (where appropriate) and will be designated as "NI Group". Equally, there were a number of standalone responses received from larger PHA teams – although all are formally part of a LA. The responses from PHAs covered a subset of the questions in the questionnaire and, where relevant are included in the following analyses. Most PHAs were, however, included in the responses of the LAs responsible for their administration.

Table 7.1 – Responding Authority Categorisation

Official Categorisation	Total	Percentage
County Council	18	6%
District Council	157	49%
London Borough	21	7%
Metropolitan Borough Council	30	9%
NI Unitary Authority	25	8%
Scottish Unitary Authority	26	8%
English Unitary Authority	15	5%
Welsh Unitary Authority	18	6%
NI Groups	4	1%
PHA	8	3%
Total	**319**	**100%**

7.9   Respondents were asked to identify if they were responding in the survey regarding Food Hygiene (FH), Food Standards (FS) or both FH and FS. Respondents could elect to answer on only FH or FS even if their authority dealt with both but it was expected that their selections would mirror the activities undertaken by the responding authority.

7.10   In England, those authorities where a two-tier District/County Council structure was in place would be expected to have FH services at the District level and FS services at the County level. For Metropolitan Borough Councils and London Boroughs in England and Unitary Authorities across the UK, the expectation would be that both FH and FS would be handled by the authority. The responses to the survey very much follow this expected pattern – as shown in Table 7.2.

Table 7.2 – Food Safety Services By Authority Type

Official Authority Type	Number of Respondents Both Food Hygiene and Food Standards	Food Hygiene	Food Standards	Total
County Council			19	19
District Council		131		132
London Borough	19			19
Metropolitan Borough Council	23	5	1	29
NI Unitary Authority	23	1	1	25
Scottish Unitary Authority	27			27
Unitary Authority	34	5		39
Welsh Unitary Authority	18			18
NI Groups	4			
PHA[13]	3	3		
Total	151	145	21	317

[13]Most PHAs were included in the responses of the associated LAs.

7.11   Eight responses were received to the survey which identified either authorities which were sharing services between neighbouring authorities (6) or where a joint body had been set up to provide shared services for a larger group of authorities (2). All examples were in England and the latter were examples where a county level regulatory services group had been set up to support 5-6 District Councils. However, the responses indicated that formal sharing of services was not taking place at present in the vast majority of authorities.

7.12   The survey asked respondents to identify which Directorate within the LA the Food Hygiene and Food Standards services (as appropriate) were in. This data is summarised in tables 7.3 - 7.5. As can be seen, the picture is very similar for standalone Food Hygiene services, standalone Food Standards services and combined FS/FH teams, with most tending to be in

an Environmental Health (or Environmental Health combined with other services) Directorate or a Directorate dealing with Local/Community/People services.

Table 7.3 – Directorate For Food Hygiene Teams

Directorate	Number of Reponses	Percentage
Environmental Health/Environmental Services combined with another service	68	23%
Local/ Community/ People	61	21%
Environmental Health/Environmental Services	52	18%
Other	40	14%
Planning/ Development/ Regeneration	29	10%
Regulation	20	7%
Health/ Wellbeing	15	5%
Finance/ Business	8	3%
	293	100%

Table 7.4 – Directorate For Food Standards Teams

Directorate	Number of Responses	Percentage
Environmental Health/Environmental Services combined with another service	42	24%
Local/ Community/ People	37	21%
Environmental Health/Environmental Services	30	17%
Other	28	16%
Regulation	19	11%
Planning/ Development/ Regeneration	8	5%
Health/ Wellbeing	5	3%
Finance/ Business	4	2%
	173	100%

Table 7.5 – Directorate For Combined Food Hygiene and Standards Teams

Directorate	Number of Responses	Percentage
Environmental Health/Environmental Services combined with another service	39	26%
Local/ Community/ People	32	21%
Environmental Health/Environmental Services	29	19%
Other	17	11%
Planning/ Development/ Regeneration	16	11%
Regulation	10	7%
Health/ Wellbeing	5	3%
Finance/ Business	3	2%
	151	100%

7.13   However, there was a significant minority of Food Hygiene (18%) and Food Standards (19%) teams that respondents reported to being located in more unusual directorates.

7.14   For Food Hygiene the list of unusual locations ranged from generic names such as "Borough Services", through broad groupings such as "Operations Directorate" to unlikely groupings like "Legal & Support Services" and "Sustainable Development". For Food Standards the more unusual locations included "Cultural and Community Services" and "Transport & Technical Services".

7.15   This may reflect significant restructuring exercises within LAs – usually to amalgamate teams thereby removing layers of management and sharing support services. The unlikely titles might also suggest that other services dominate within these directorates and that FSA should ensure that the critical importance of food safety is highlighted in these authorities – although it could equally be that the restructuring has yet to be completed and the names are temporary. However, breaks with more traditional (or instantly recognisable) structures do reinforce the need for FSA to ensure that they maintain strong direct lines of communication within the LAs

7.16   The survey asked authorities to indicate which elected officials and council officers were responsible for a range of aspects of the governance of food safety. Tables 7.6 and 7.7 show the summary of the responses for FH and FS. As would be expected, elected members are generally involved in the ratification of plans and the setting of budgets but not in the development of plans or the day-to-day control of budgets or the delivery of the service. Conversely (again as expected), the council staff are less involved in the ratification and budget setting tasks (although the Director level staff are reasonably likely to be involved in these) but are heavily involved in the planning and service delivery/management tasks.

7.17   Key points from the survey are that:

   o 85%-90% of respondents indicated that elected members ratified the service and/or enforcement plans for the authority;
   o Budget planning (56%) and control (40%) were most likely to be undertaken at Director level; and
   o Operational control (46%) is most likely to sit with the Head of Service.

7.18   This suggests that food safety is still largely delivered in LAs with "traditional" and understood (including by FSA) structural organisations and that Service Plans have high visibility to elected members. However, this isn't completely the case and future trends need to be monitored.

Table 7.6 – Governance and Management Summary – Food Hygiene

Governance	Percentage of Responding Authorities					
Highest level of Elected Input	**Ratifies Service Plan**	**Ratifies Enforcement Policy**	**Plans Budget**	**Sets Budget**	**Controls Budget**	**Operational Control**
Cabinet/Mayor	40%	55%	19%	48%	10%	1%
Portfolio	32%	18%	8%	5%	2%	2%
Other (please specify)	13%	16%	8%	20%	5%	0%
Elected level input	*85%*	*89%*	*35%*	*73%*	*17%*	*3%*
No input at Elected level	*15%*	*11%*	*65%*	*27%*	*83%*	*97%*
Management	**Percentage of Responding Authorities**					
Highest level of Officer Input	**Ratifies Service Plan**	**Ratifies Enforcement Policy**	**Plans Budget**	**Sets Budget**	**Controls Budget**	**Operational Control**
Director	31%	29%	56%	38%	40%	14%
Head of Service/Chief Officer	20%	14%	33%	16%	40%	46%
Senior Officer	2%	2%	4%	0%	7%	12%
Manager	1%	1%	4%	1%	10%	24%
Team leader	0%	0%	1%	1%	2%	4%
Officer level input	*54%*	*46%*	*98%*	*56%*	*99%*	*100%*
No input at Officer level	*46%*	*54%*	*2%*	*44%*	*1%*	*0%*

Base: 283 Responding Authorities

Table 7.7 – Governance and Management Summary – Food Standards

Governance	Percentage of Responding Authorities					
Highest level of Elected Input	**Ratifies Service Plan**	**Ratifies Enforcement Policy**	**Plans Budget**	**Sets Budget**	**Controls Budget**	**Operational Control**
Cabinet/Mayor	38%	50%	16%	50%	18%	0%
Portfolio	28%	22%	7%	9%	5%	1%
Other (please specify)	16%	18%	9%	22%	7%	0%
Elected level input	*82%*	*90%*	*32%*	*81%*	*30%*	*1%*
No input at Elected level	*18%*	*10%*	*68%*	*19%*	*70%*	*99%*
Management	**Percentage of Responding Authorities**					
Highest level of Officer Input	**Ratifies Service Plan**	**Ratifies Enforcement Policy**	**Plans Budget**	**Sets Budget**	**Controls Budget**	**Operational Control**
Director	31%	28%	54%	38%	48%	16%
Head of Service/Chief Officer	16%	14%	33%	15%	35%	46%
Senior Officer	2%	1%	5%	0%	6%	17%
Manager	0%	0%	3%	0%	4%	14%
Team leader	1%	1%	0%	1%	1%	5%
Officer level input	*50%*	*44%*	*95%*	*54%*	*94%*	*98%*
No input at Officer level	*50%*	*56%*	*5%*	*46%*	*6%*	*2%*

Base: 147 Responding Authorities

Resources, Budgets and Support Functions

7.19   The FTE available (and the current vacancy levels) for Food Hygiene work is summarised in Table 7.8. The key statistics are that:

- o 92-93% of the staff resource budgeted for is delivered by permanent staff currently in post;
- o unfilled vacancies account for 3-4% of the staff resource;
- o contract staff are used to deliver 3% of the required effort; and
- o the picture is similar across the UK.

Table 7.8 – Food Hygiene FTE Totals By Country

Question	England	Northern Ireland	Scotland	Wales	UK
FTE in Post[14]	1345.7	101.8	242.9	157.8	1,848.2
FTE Vacancies	53.9	1.0	15.9	5.8	76.5
Contract Staff FTE	52.7	6.7	1.0	8.0	68.4
Number of staff	1777.4	125.8	734.3	197.7	2,835.2

[14]FTE figures quoted are the values for those authorities that responded, not the total for the UK and the constituent countries

7.20   Further analysis of these figures is presented in table 7.9 to illustrate the ways in which staff resource was allocated to technical or administrative duties and to explore whether there were differences in these allocations across the four UK countries. The ratio of FTE for staff to the number of staff for each country (if the FTE total was 1000 and the number of staff was 2000, the ratio would be 1000/2000 – 50% in the table) is shown. Ratios of less than 100% could arise from two factors; from the use of part-time staff or from staff sharing their responsibilities for FH/FS with other roles. In the latter case, staff could be working on a full-time basis but might only allocate, say, 50% of their time to food safety duties.

7.21   The analysis also covers the level of vacancies as a proportion of the FTE allocated to teams and the proportion of the total FTE delivered by contractors. Some authorities use contractors as part of their core team (covering maternity leave, for example) while others use contractors for specific projects or tasks (a block of lower risk category inspections, for example).

7.22   The figures highlight some important differences between the countries of the UK:

- o While for England, Northern Ireland and Wales, technical (ie non-admin) staff time devoted to food safety is approximately 80-90% of the available FTE (ie 4 to 4.5 days per week per person), in Scotland, the figure is much lower;

- Most admin staff spend approximately 50% of their time on FH/FS support – only Wales showing that the identified admin staff devoted all their time to supporting FH/FS teams;
- Scotland has a higher vacancy rate (6.1% compared to the UK average of 3.8%) while Northern Ireland has a low vacancy rate (0.9%);
- Northern Ireland has twice as much admin FTE (per non-admin FTE) as the UK average.

Table 7.9 – Food Hygiene FTE Proportions By Country

Question	England	Northern Ireland	Scotland	Wales	UK
Proportion of UK FTE[6]	72%	6%	13%	8%	100%

Question	England	Northern Ireland	Scotland	Wales	UK
Average FTE per person (Technical)	82%	87%	35%	87%	70%
Average FTE per person (Admin)	48%	62%	46%	100%	49%
Vacancies as a proportion of allocated FTE	4%	1%	6%	3%	4%
Proportion of FTE delivered by Contractors	4%	6%	0.4%	5%	3%
Proportion of Total Staffing used for Admin	8%	17%	12%	1%	8%

7.23   Figure 7.1 shows the distribution of budgeted effort – as a proxy for team size - in terms of the total FTE for the team. This shows that team sizes are typically in the range 0-5 FTE and just under 90% of teams are in the range 0-10 FTE. The equivalent distribution for FH staffing vacancies (again in terms of FTEs) is shown in Figure 7.2 and as can be seen, just under 70% of the vacancy levels in team are in the range 0-1 FTE.

Figure 7.1 – Distribution of FH Team Size (FTE)

Food Hygiene FTE Team Size

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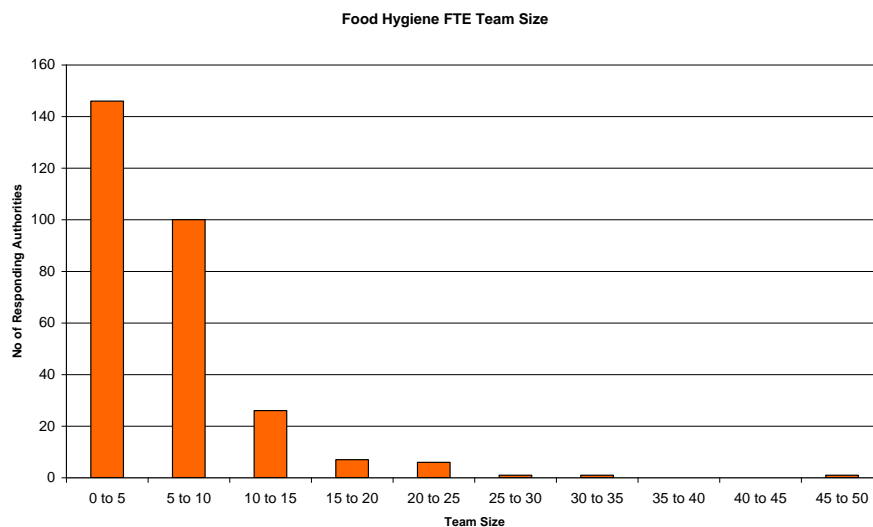
[6] FTE figures quoted are the values for those authorities that responded, not the total for the UK and the constituent countries

7.24 Team sizes generally follow population size for the area covered by an authority (and cargo volumes for PHAs). Consequently the largest teams are generally for those authorities dealing with areas that are large cities or urban conurbations. The largest teams also tend to be for Unitary authorities (again because these largely correlate to larger population areas). This means that typical team sizes tend to be larger in Scotland and Wales (where all authorities are Unitary) and smallest in Northern Ireland (where the population covered by the District Councils is generally smaller).

7.25 To illustrate this, 72% of the authorities with FH budget smaller than 3 FTE are in England, 21% are in Northern Ireland and 7% in Scotland. 56% of authorities with FH budget larger than 15 FTE are in England, 6% in Northern Ireland, 25% in Scotland and 13% in Wales. Similarly 85% of the authorities with FH budget less than 3 FTE are District Councils and 69% of those where the budget was greater than 15 FTE are Unitary Authorities.

Figure 7.2 – Distribution of FH Vacancy Size (FTE)
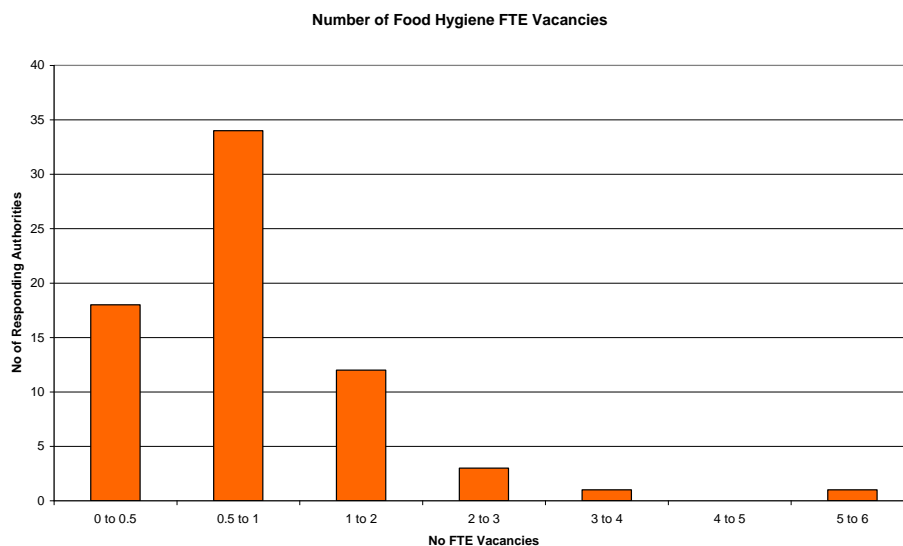
7.26 The equivalent data and analysis for the Food Standards staffing are shown in Tables 7.10 and 7.11 and Figures 7.3 and 7.4. As can be seen:

   o The team size is typically smaller than that for Food Hygiene;
   o Staff more typically work part time on dedicated food standards work – again more likely to be due to sharing time with other tasks than through part-time working;
   o Vacancy and Contractor Usage rates are very similar (and generally low) to those for FH.

Table 7.10 – Food Standards FTE Totals By Country

Question	England	Northern Ireland	Scotland	Wales	UK
FTE	445.1	54.5	135.8	76.3	711.7
FTE Vacancies	21.9	0.3	6.5	4.0	32.6
Contract Staff	10.4	3.2	1.0	4.8	19.4
People Working	646.1	93.1	356.2	127.3	1,222.7

Table 7.11 – Food Standards FTE Proportions By Country

Question	England	Northern Ireland	Scotland	Wales	UK
Proportion of UK FTE	61%	8%	22%	10%	100%
Question	**England**	**Northern Ireland**	**Scotland**	**Wales**	**UK**
Average FTE per person (Non-Admin)	72%	62%	38%	64%	61%
Average FTE per person (Admin)	69%	38%	116%	100%	78%
Proportion of FTE Vacancy	5%	0.4%	5%	5%	4%
Proportion of FTE Contractor	2%	6%	1%	6%	3%
Proportion of Staffing Admin	5%	15%	23%	1%	10%

Figure 7.3 – Distribution of FS Team Size (FTE)

Food Standards FTE Team Size
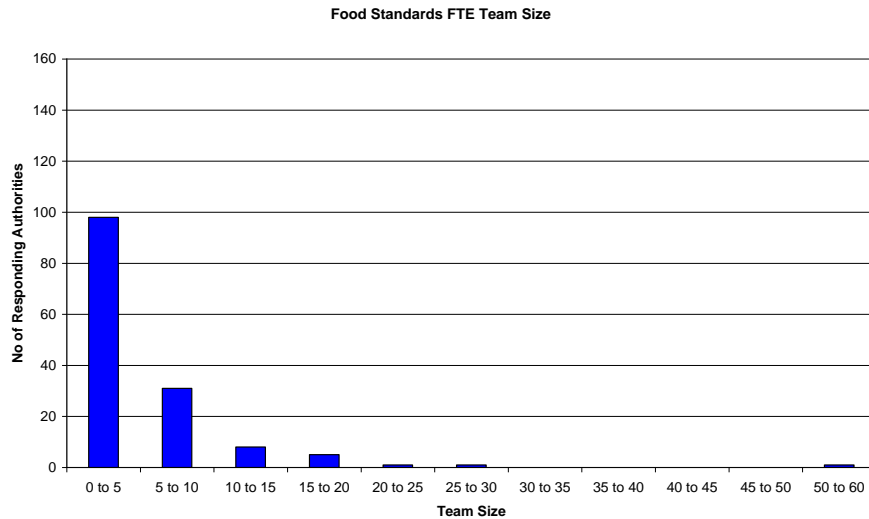
Figure 7.4 – Distribution of FS Vacancy Size (FTE)

Number of Food Standards FTE Vacancies
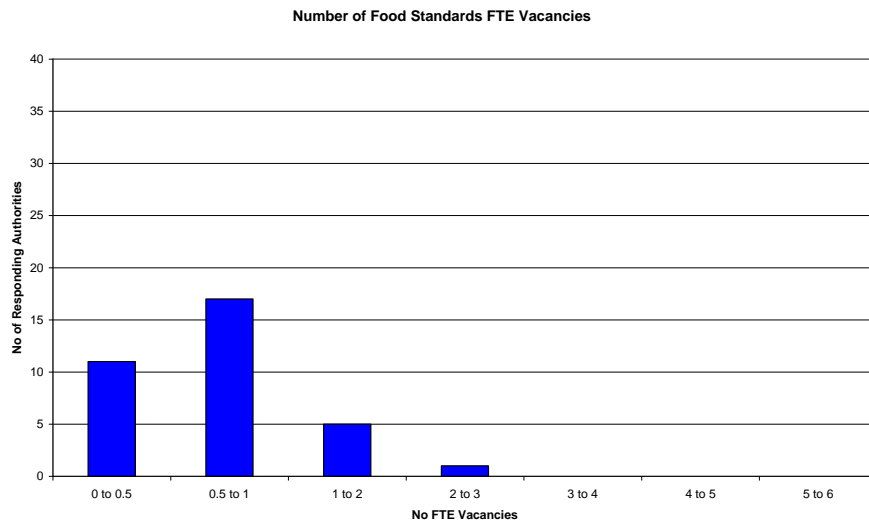
7.27 Training provision available to FH and FS staff currently and over the previous three years were explored in the survey and the data is summarised in table 7.12. The questions in the survey ask the extent to which the required level of training (to develop and support staff competency) were delivered – the options for response being that the training, fully, partially or did not meet the requirements.

7.28 The responses indicate that, as would be expected given the need to maintain competencies for food safety work, the support for this training has remained consistently high over the four year period. However, the responses suggest that there have been slight reductions in the level of support for training to extend competencies and training to develop management/leadership skills – but the trend is very small. The picture is very consistent across the 4 countries of the UK (see Table J-016 in Appendix J) and across authorities by service type (FH only, FS only, both FH and FS – see Table J-017).

Table 7.12 –Training Provision For FS/FH Staff – UK

Training Purpose	Year	Percentage			Number of responses
		Fully	**Partially**	**No**	
Training to maintain competencies	2009/10	96%	4%	0%	308
	2010/11	95%	5%	0%	309
	2011/12	94%	6%	0%	309
	2012/13	94%	6%	0%	308
Training to extend competencies	2009/10	76%	22%	1%	296
	2010/11	76%	22%	1%	297
	2011/12	72%	26%	2%	297
	2012/13	71%	27%	3%	297
Training for managerial/leadership skills	2009/10	58%	30%	12%	291
	2010/11	56%	32%	12%	293
	2011/12	54%	35%	11%	293
	2012/13	52%	36%	12%	292

7.29   A separate facet of training is the provision of training places – these provide the means to develop professional competencies for those who have completed their academic qualifications. It is therefore important to have new recruits to food safety developing their competencies to provide staff to replace those leaving the profession.

7.30   The survey explored the provision of training places for new recruits, and the results are illustrated in Figure 7.5. There was drop of just under 10% in terms of available places between 2011/12 and 2012/13 but before that the total stayed constant. The proportion of these places that are fully funded has declined and, conversely, the proportion of unfunded places has risen. This pattern is consistent across England, Wales and Northern Ireland, but there is a marked difference is in Scotland – as shown in Figure 7.6. Here the decline in available training places is 45.9% across the four year period.

7.31   The picture for availability and funding of Food Standards training places is similar to that for Food Hygiene (figure 7.7), with the downward trend being slightly more marked and running across the full four year period.

Figure 7.5 – Food Hygiene Training Places – UK Respondents

Number of Food Hygiene Training Places
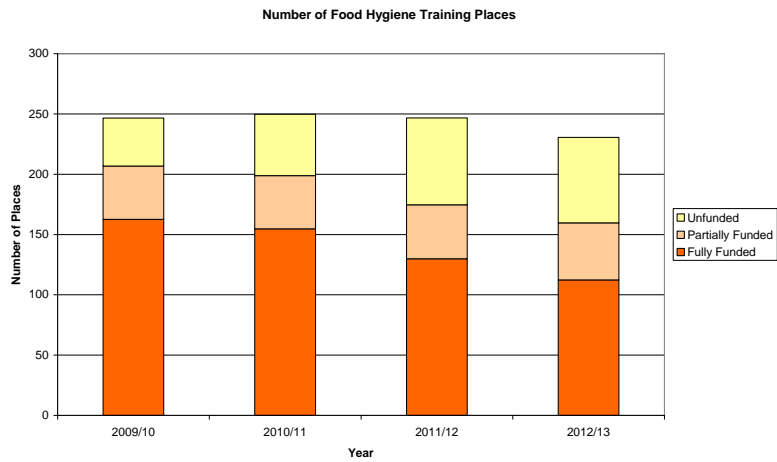
Figure 7.6 – Food Hygiene Training Places – Scottish Respondents

Food Hygiene Training Places
Scotland
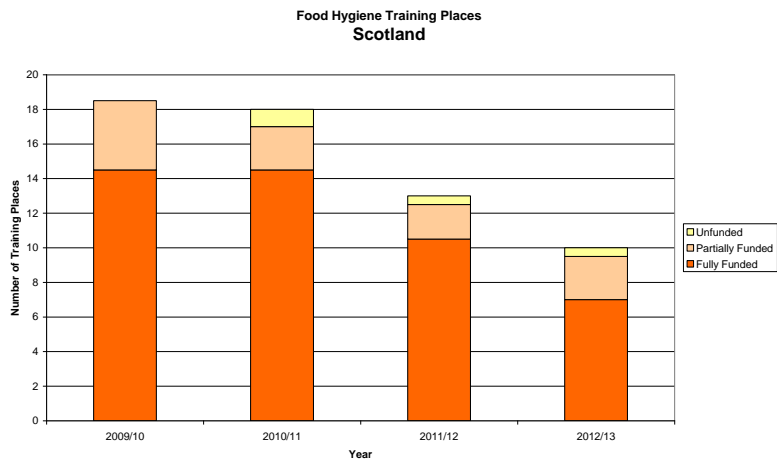
Figure 7.7 – Food Standards Training Places – UK Respondents

No of Food Standards Training Places
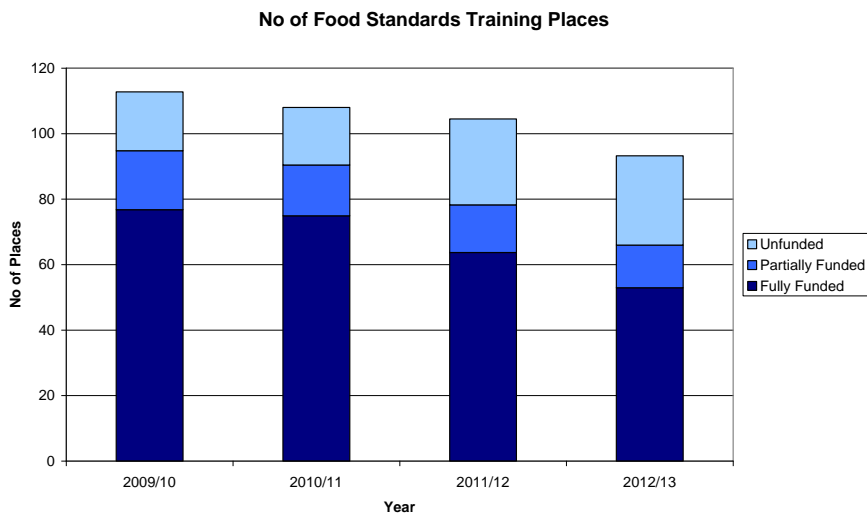
Areas of responsibility within Official Control teams

7.32   The degree of involvement in managerial and technical activities for the members of the Food Safety teams is outlined in Tables 7.6 and 7.7. As would be expected, in the majority of LAs, the more senior staff have increased involvement in managerial tasks (including planning and budget preparation) while more junior staff focus on technical tasks – although all staff have some technical content to their work.

7.33   The nature of this technical work was considered further, in particular the other areas of work that Food Safety staff were directly involved in as part of their day-to-day working. The data from the survey questions concerning the range of responsibilities combined with FH undertaken by teams including those in combined FH/FS teams are presented in Table 7.13 and those in purely FH teams in Table 7.14. For those countries/authorities with Unitary Authority structures (Scotland, Northern Ireland, Wales and selected English Authorities) there is a 100% combination of FH and FS services. Consequently Table 7.13 shows a high proportion of FH staff also involved in Food Standards work.

7.34   As would be expected, the overall results show that:

- o FH staff are also involved in a wide range of other (related EH) tasks;
- o Infectious Disease (97%) and Health and Safety (74%) tasks are frequently combined with FH inspections;
- o The intelligence gathering brief for FH staff is very widespread.

Table 7.13 – Other Duties for Food Hygiene Staff – All UK Responses

FOOD HYGIENE	% of Responding Authorities		
Area of Joint Working	**All Aspects**	**Inspections /Investigations**	**Intelligence Gathering**
Infectious Diseases	88%	97%	95%
Food Standards	74%	82%	97%
Health and Safety	63%	74%	93%
Drinking Water	56%	74%	77%
Health and Well Being (including healthier eating)	46%	60%	75%
Other	34%	43%	53%
Port Health related work	28%	37%	46%
Licensing	23%	47%	74%
Noise Control	22%	33%	50%
Pollution Control	21%	35%	54%
Housing	8%	12%	38%
Economic growth	6%	9%	28%
Other Trading Standards	5%	11%	41%

Base: Number of responses to each question varies between 227 and 286

Table 7.14 – Other Duties for Food Hygiene Staff – UK Responses – FH Only

FOOD HYGIENE	% of Responding Authorities		
Area of Joint Working	All Aspects	Inspections /Investigations	Intelligence Gathering
Infectious Diseases	97%	98%	97%
Health and Safety	84%	92%	96%
Drinking Water	48%	68%	87%
Health and Well Being (including healthier eating)	41%	45%	65%
Other	41%	49%	54%
Licensing	24%	55%	85%
Noise Control	21%	30%	58%
Pollution Control	19%	33%	61%
Port Health related work	17%	31%	40%
Food Standards	6%	6%	62%
Economic growth	6%	8%	34%
Housing	6%	10%	46%
Other Trading Standards	2%	3%	39%

Base: Number of responses to each question varies between 107 and 140

7.35 The equivalent analysis for Food Standards is presented in Tables 7.15 (including combined FH and FS teams) and 7.16 (FS teams only) . These demonstrate that the the range of other responsibilities is equally wide as that for FH staff, but the overlaps are (slightly) less pronounced. For teams who undertake FS activities only (Table 7.16), the combined activities are focused primarily on other trading standards work. For those in combined FS/FH teams (Table 7.15) the combinations are more varied.

Table 7.15 – Other Duties for Food Standard Staff – All UK Responses

Food Standards	% of Responding Authorities		
Area of Joint Working	All Aspects	Inspections /Investigations	Intelligence Gathering
Food Hygiene	64%	71%	93%
Infectious diseases	62%	67%	73%
Health and Safety	50%	60%	83%
Consumer advice/support/education	41%	54%	69%
Health Promotion	41%	59%	76%
Drinking Water	38%	53%	63%
Animal feed	36%	40%	51%
Other Trading Standards	31%	36%	47%
Other	28%	33%	43%
Licensing	26%	48%	71%
Animal health	23%	32%	52%
Port health related work	20%	28%	39%
Economic growth	9%	11%	28%
Housing	7%	11%	27%

Base: Number of responses to each question varies between 114 and 156

Table 7.16 – Other Duties for Food Standard Staff – UK Responses – FS Only

Food Standards	% of Responding Authorities		
Area of Joint Working	**All Aspects**	**Inspections /Investigations**	**Intelligence Gathering**
Other Trading Standards	86%	86%	86%
Animal feed	71%	71%	90%
Consumer advice/support/education	62%	62%	76%
Animal health	48%	57%	81%
Health Promotion	20%	15%	40%
Licensing	20%	25%	55%
Health and Safety	14%	10%	29%
Other	13%	13%	13%
Economic growth	10%	5%	30%
Food Hygiene	10%	10%	25%
Infectious diseases	5%	5%	10%
Port health related work	5%	10%	20%
Drinking Water	0%	10%	10%
Other Trading Standards	86%	86%	86%

Base: Number of responses to each question varies between 15 and 21

Levels of Activity

7.36   The survey did not aim to specifically collect information on the levels of activity in authorities – the LAEMS returns provided to FSA contain a wealth of information on these. Consequently, the following tables and analysis have been taken from the (LAEMS) report (dated 06/11/12). The tables refer to the LAEMS returns covering the period 1st April 2011 to 31st March 2012 and cover all authorities providing LAEMS returns – this is a larger group than the respondents to the survey, including virtually all LAs/PHAs in the UK. The information is provided for completeness – to illustrate how the further FSA in-house analysis can marry this data and the data from the on-line survey.

7.37   There were 599,880 food establishments registered with LAs in the UK as at 31st March 2012 (Table 7.17). 91.5% of these establishments have been rated and given a risk category, 6.2% have not yet been rated and 2.3% of registered establishments fall outside the programme. Of the 599,880 registered food establishments 81.7% are in England, 3.3% are in Northern Ireland, 9.4% are in Scotland and 5.6% are in Wales (Table 7.18)

Table 7.17 - Establishment Profiles for Food Hygiene

Risk Category	Primary producers	Manufacturers and Packers	Importers/ Exporters	Distributors/ Transporters	Retailers	Restaurants and Caterers	Total
A	17	612	2	25	431	2,362	**3,449**
B	83	2,701	13	105	3,018	28,232	**34,152**
C	378	5,292	107	1,107	30,882	192,341	**230,107**
D	657	2,585	165	1,829	27,693	66,242	**99,171**
E	2,448	4,750	490	5,039	63,031	105,990	**181,748**
Not Yet Rated (NYR) [5]	783	1,357	159	779	7,498	26,745	**37,321**
Outside [6]	1,199	288	124	617	2,507	9,197	**13,932**
Total	**5,565**	**17,585**	**1,060**	**9,501**	**135,060**	**431,109**	**599,880**

Table 7.18 - Establishment Profiles by Country for Food Hygiene

England	Primary producers	Manufacturers and Packers	Importers/ Exporters	Distributors/ Transporters	Retailers	Restaurants and Caterers	Total
Premise Rating - A	14	355	2	18	332	1,842	**2,563**
Premise Rating - B	62	1,841	12	77	2,206	20,810	**25,008**
Premise Rating - C	189	3,954	103	868	23,737	157,307	**186,158**
Premise Rating - D	230	1,834	153	1,461	23,146	56,651	**83,475**
Premise Rating - E	1,251	3,842	452	4,227	53,552	89,656	**152,980**
Not yet rated	332	950	142	598	6,068	21,307	**29,397**
Outside programme	1,076	192	121	573	1,886	6,879	**10,727**
Total	**3,154**	**12,968**	**985**	**7,822**	**110,927**	**354,452**	**490,308**
NI Unitary Authority	Primary producers	Manufacturers and Packers	Importers/ Exporters	Distributors/ Transporters	Retailers	Restaurants and Caterers	Total
Premise Rating - A	0	29	0	1	7	26	**63**
Premise Rating - B	3	130	0	4	116	735	**988**
Premise Rating - C	9	333	1	49	1,227	5,186	**6,805**
Premise Rating - D	15	158	2	80	688	1,633	**2,576**
Premise Rating - E	20	152	5	186	1,880	3,515	**5,758**
Not yet rated	5	54	4	44	273	1,035	**1,415**
Outside programme	9	56	3	27	161	1,753	**2,009**
Total	**61**	**912**	**15**	**391**	**4,352**	**13,883**	**19,614**
Scottish Unitary Authority	Primary producers	Manufacturers and Packers	Importers/ Exporters	Distributors/ Transporters	Retailers	Restaurants and Caterers	Total
Premise Rating - A	3	189	0	2	55	269	**518**
Premise Rating - B	10	545	1	17	424	4,574	**5,571**
Premise Rating - C	143	648	2	141	4,014	18,349	**23,297**
Premise Rating - D	365	428	7	172	2,373	4,432	**7,777**
Premise Rating - E	986	489	26	386	4,145	7,439	**13,471**
Not yet rated	419	307	12	125	815	3,541	**5,219**
Outside programme	53	9	0	10	77	213	**362**
Total	**1,979**	**2,615**	**48**	**853**	**11,903**	**38,817**	**56,215**
Welsh Unitary Authority	Primary producers	Manufacturers and Packers	Importers/ Exporters	Distributors/ Transporters	Retailers	Restaurants and Caterers	Total
Premise Rating - A	0	39	0	4	37	225	**305**
Premise Rating - B	8	185	0	7	272	2,113	**2,585**
Premise Rating - C	37	357	1	49	1,904	11,499	**13,847**
Premise Rating - D	47	165	3	116	1,486	3,526	**5,343**
Premise Rating - E	191	267	7	240	3,454	5,380	**9,539**
Not yet rated	27	46	1	12	342	862	**1,290**
Outside programme	61	31	0	7	383	352	**834**
Total	**371**	**1,090**	**12**	**435**	**7,878**	**23,957**	**33,743**

7.38   Analysis of the data by premises type across the different UK countries (Table 7.19) shows that Scotland has a higher percentage of primary produces than the UK as a whole with 3.5% of registered establishment falling within this category in Scotland but only 0.9% of establishments UK wide.   Similarly, Scotland and Northern Ireland also have a higher percentage of registered establishments within the Manufacturers and Packers category than UK as a whole.

7.39   Analysis of the data by premises rating across the different UK countries (Table 7.20) shows that Northern Ireland has a higher percentage of establishments which are categorised as outside the risk-rating system than

the UK and that Scotland has a higher percentage of establishments that are given a category B rating than UK figure.

Table 7.19 - Summary of Establishment Profile by Country and Premise Type

	Primary producers	Manufacturers and Packers	Importers/Exporters	Distributors/ Transporters	Retailers	Restaurants and Caterers	Total	Primary producers	Manufacturers and Packers	Importers/Exporters	Distributors/ Transporters	Retailers	Restaurants and Caterers
England	3,154	12,968	985	7,822	110,927	354,452	490,308	0.6%	2.6%	0.2%	1.6%	22.6%	72.3%
NI	61	912	15	391	4,352	13,883	19,614	0.3%	4.6%	0.1%	2.0%	22.2%	70.8%
Scotland	1,979	2,615	48	853	11,903	38,817	56,215	3.5%	4.7%	0.1%	1.5%	21.2%	69.1%
Wales	371	1,090	12	435	7,878	23,957	33,743	1.1%	3.2%	0.0%	1.3%	23.3%	71.0%
UK	5,565	17,585	1,060	9,501	135,060	431,109	599,880	0.9%	2.9%	0.2%	1.6%	22.5%	71.9%

Table 7.20 - Summary of Establishment Profile by Country and Premises Rating

	A	B	C	D	E	Unrated	Outside	Total	A	B	C	D	E	Unrated	Outside
England	2,563	25,008	186,158	83,475	152,980	29,397	10,727	490,308	0.5%	5.1%	38.0%	17.0%	31.2%	6.0%	2.2%
NI	63	988	6,805	2,576	5,758	1,415	2,009	19,614	0.3%	5.0%	34.7%	13.1%	29.4%	7.2%	10.2%
Scotland	518	5,571	23,297	7,777	13,471	5,219	362	56,215	0.9%	9.9%	41.4%	13.8%	24.0%	9.3%	0.6%
Wales	305	2,585	13,847	5,343	9,539	1,290	834	33,743	0.9%	7.7%	41.0%	15.8%	28.3%	3.8%	2.5%
UK	3,449	34,152	230,107	99,171	181,748	37,321	13,932	599,880	0.6%	5.7%	38.4%	16.5%	30.3%	6.2%	2.3%

7.40　Of the 555,350 interventions carried out during 2011/12, 422,806 (76%) were recorded as Food Hygiene interventions and 132,544 (24%) were recorded as Food Standards interventions (Tables 7.21 and 7.22). The vast majority of these interventions (76%) were carried out in England, with 5% in Northern Ireland, 12% in Scotland and 7% in Wales .

7.41　Inspections and Audits represent the majority of interventions across the UK as a whole within both Food Hygiene (65.6%) and Food Standards (74.9%). However, there are differences between the four countries, in particular with Northern Ireland. In Northern Ireland the percentage of Inspection and Audits is substantially lower than in the other UK countries at 45.97% and the figures for Verification and Surveillance and Sampling Visits are higher.

Table 7.21 Number of Interventions for Food Hygiene

Food Hygiene	Inspections and audits	Verification and surveillance	Sampling visits	Advice and education	Information/ intelligence gathering	Total
England	220,128	60,432	13,534	15,668	17,915	327,677
Northern Ireland	9,188	5,472	2,603	1,823	903	19,989
Scotland	29,703	10,175	1,230	3,205	688	45,001
Wales	18,384	6,805	1,899	1,580	1,471	30,139
UK	277,403	82,884	19,266	22,276	20,977	422,806

Interventions types as a % of total interventions – 2011/12						
Food Hygiene	Inspections and audits	Verification and surveillance	Sampling visits	Advice and education	Information/ intelligence gathering	Total
England	67.18	18.44	4.13	4.78	5.47	100.00
Northern Ireland	45.97	27.38	13.02	9.12	4.52	100.00
Scotland	66.01	22.61	2.73	7.12	1.53	100.00
Wales	61.00	22.58	6.30	5.24	4.88	100.00
UK	65.61	19.60	4.56	5.27	4.96	100.00

Table 7.22 - Number of Interventions for Food Standards

Food Standards	Inspections and audits	Verification and surveillance	Sampling visits	Advice and education	Information/ intelligence gathering	Total
England	72,938	9,635	4,128	5,730	3,478	95,909
Northern Ireland	4,549	630	719	365	667	6,930
Scotland	13,462	1,944	1,949	1,006	849	19,210
Wales	8,345	608	730	493	319	10,495
UK	99,294	12,817	7,526	7,594	5,313	132,544

Interventions types as a % of total interventions – 2011/12						
Food Standards	Inspections and audits	Verification and surveillance	Sampling visits	Advice and education	Information/ intelligence gathering	Total
England	76.05	10.05	4.30	5.97	3.63	100.00
Northern Ireland	65.64	9.09	10.38	5.27	9.62	100.00
Scotland	70.08	10.12	10.15	5.24	4.42	100.00
Wales	79.51	5.79	6.96	4.70	3.04	100.00
UK	74.91	9.67	5.68	5.73	4.01	100.00

7.42   The levels of broadly compliant food businesses across each of the four countries in 2010/11 and 2011/12 are presented below (Table 7.23). Over 90% of rated food businesses in the UK level were rated as broadly compliant (or better). The levels of businesses rated a broadly compliant do differ with higher rates in England and Northern Ireland than in Scotland and Wales.

Table 7.23 - Broad Compliance for Food Hygiene

	% of establishments which are 'broadly compliant' or better	% of establishments which are below 'broadly compliant'	% of establishments which are not yet risk rated	Total
England	85.3 (84.8)	8.6 (9.7)	6.1 (5.6)	100.0
Northern Ireland	84.8 (82.9)	7.2 (8.3)	8.0 (8.8)	100.0
Scotland	78.8 (76.9)	12.1 (13.9)	9.1 (9.1)	100.0
Wales	82.8 (78.7)	13.3 (17.4)	3.9 (3.9)	100.0
UK	**84.5 (83.7)**	**9.1 (10.4)**	**6.3 (5.9)**	**99.9 (100.0)**
Excluding the establishments which are not yet risk rated and outside programme:				
England	90.8 (89.8)	9.2 (10.2)		100.0
Northern Ireland	92.2 (90.9)	7.8 (9.1)		100.0
Scotland	86.6 (84.7)	13.4 (15.3)		100.0
Wales	86.2 (81.9)	13.8 (18.1)		100.0
UK	**90.2 (88.9)**	**9.8 (11.1)**		**100.0**

7.43 Data on enforcement actions and sampling carried out during 2011/12 are presented in Tables 7.24 - 7.26. There were 180,177 formal enforcement actions undertaken, the vast majority of which were Written Warnings for both food hygiene and food standards (94.6% and 96.4% respectively). There were 78,653 samples taken during 2011/12, 66.3% from establishments in England, 10.2% from Northern Ireland, 13.2% from Scotland and 10.3% from Wales.

Table 7.24 - Number of Enforcement Actions for Food Hygiene

	Voluntary closure	Seizure, detention & surrender of food	Suspension/ revocation of approval or licence	Emergency prohibition notice	Prohibition order	Simple caution	Improvement notices	Remedial action & detention notices	Written warnings	Prosecutions concluded	TOTALS
DC	141	74	6	32	17	94	1,620	16	52,349	66	54,415
LB	182	106	3	118	14	61	1,540	21	19,174	95	21,314
MBC	183	66	1	53	18	56	696	12	23,366	55	24,506
UN	118	87	9	42	8	66	1,032	13	27,938	83	29,396
England	**624**	**333**	**19**	**245**	**57**	**277**	**4,888**	**62**	**122,827**	**299**	**129,631**
Northern Ireland	84	45	2	0	0	11	84	3	5,816	9	6,054
Scotland	134	29	0	29	1	0	1,004	19	16,549	11	17,776
Wales	99	26	0	11	4	27	578	1	13,187	28	13,961
UK	**941**	**433**	**21**	**285**	**62**	**315**	**6,554**	**85**	**158,379**	**347**	**167,422**

Table 7.25 - Number of Enforcement Actions for Food Standards

	Seizure, detention & surrender of food	Simple caution	Written warnings	Prosecutions concluded	TOTALS
CC	10	17	1,304	18	1,349
LB	61	0	3,688	8	3,757
MBC	5	134	1,414	10	1,563
UN	2	10	1,499	12	1,523
England	**78**	**161**	**7,905**	**48**	**8,192**
Northern Ireland	16	3	1,220	6	1,245
Scotland	11	0	2,328	3	2,342
Wales	7	111	849	9	976
UK	**112**	**275**	**12,302**	**66**	**12,755**

Table 7.26 - Number of Samples taken during 2011/12

	England	Northern Ireland	Scotland	Wales	UK
Microbiological	37,463	6,020	5,928	6,135	**55,546**
Other Contamination	2,869	56	1,037	470	**4,432**
Composition	10,567	1,892	1,359	1,401	**18,219**
Labelling & Presentation	8,291	1,597	1,236	755	**11,879**
Others	759	2	1,306	38	**2,105**
TOTAL ANALYSES	**59,949**	**9,567**	**13,866**	**8,799**	**92,181**
TOTAL SAMPLES	**52,186**	**8,006**	**10,365**	**8,096**	**78,653**

Income Streams

7.44   Although the bulk of funding for most food safety teams comes from the LA itself, there are other potential sources of income that are available and which might help offset any decrease in core funding. The survey asked LAs/PHAs about their current funding from external (ie non-LA) sources and trends in the level of this.

7.45   The core findings (explored in more detail below) were that:

o   Only a minority of respondents received significant (above £10,000 per annum) external funding;
o   FSA grants, followed by the provision of training and export certification were the most likely sources of significant income;
o   Welsh and Northern Irish respondents were more likely to have significant funding from FSA grants, Scottish respondents were most likely to have significant income from export certification;
o   The trend has been for external funding levels to rise but there is less confidence that this will continue to be the case; and
o   In most cases, external funding received is not assumed in budgets and is not ring-fenced for food safety use.

7.46   For the majority of the respondents (and for many of the potential sources, the vast majority of cases) no significant external funding was indicated as being received. Where significant external funding is received, FSA grants are the most likely source, followed by training courses (provided at cost to food businesses) and export certification.

7.47   There clearly are some special cases – large ports generate significant income for the associated PHA services, for example – but the opportunities for significant external funding are often limited to those authorities with special circumstances that present these opportunities.

7.48   The number of respondents indicating significant income being received from a range of sources is outlined in Figure 7.8. This shows the number of respondents reporting significant income from a given source (defined as greater than or equal to £10,000 per annum). Clearly not all authorities responded to the survey and those that did may well have received funding

from these sources, but at a lower financial level. Similarly, Table 7.27 shows the proportion of responses where the income from these sources was deemed to be "significant" (defined as above £10,000 per annum). This very much matches the frequency chart in Figure 7.8 – implying that respondents have generally only included significant sources in their responses. As can be seen FSA grant funding is by far the most common source of significant external funding with training, export certification and inspection of private water supplies also providing common sources of external income. However there are some marked differences across the countries of the UK (tables 7.28), which can be summarised as:

o While FSA grants are the most frequent significant external sources of funding in England, Wales and Northern Ireland, they rank low in Scotland;

o Very high proportions of authorities in Wales and Northern Ireland receive significant levels of funding from FSA grants – three time the proportion compared to England and ten times the proportion in Scotland;

o The most likely sources of external funding for Scottish authorities are Export Certificates (44% of respondents) and services for dealing with Private Water Supplies (35%).

Figure 7.8 – Relative Frequency of Receipt of Significant Income (>£10,000) In 2012-13 By Source
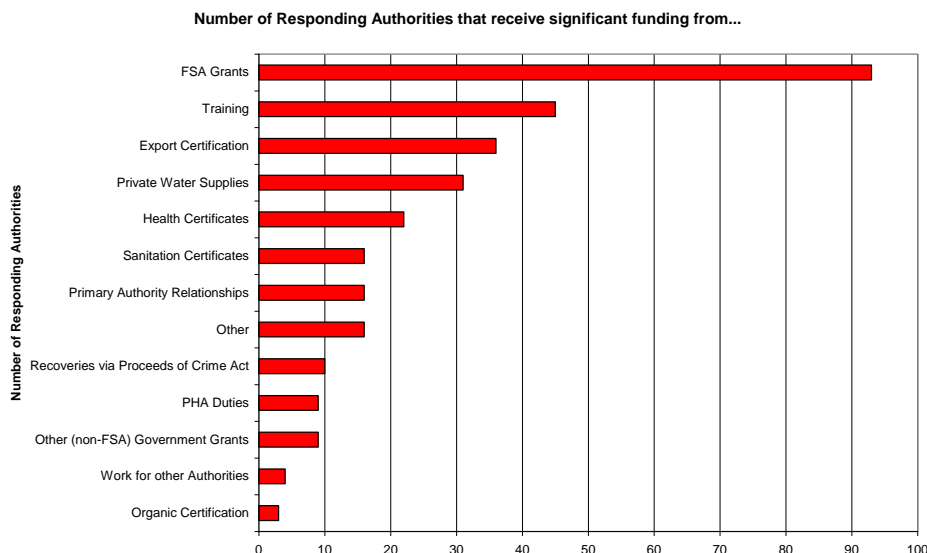
Table 7.27 – Significant Sources of Income (>£10,000) – 2012-13

Funding Source	Significant	Not Significant	Don't Know
FSA Grants	34%	65%	1%
Training	17%	83%	0%
Export Certification	14%	86%	0%
Private Water Supplies	12%	87%	1%
Health Certificates	9%	91%	0%
Other	9%	88%	3%
Sanitation Certificates	7%	92%	2%
Primary Authority Relationships	6%	94%	0%
Recoveries via Proceeds of Crime Act	4%	94%	2%
PHA Duties	4%	95%	2%
Other (non-FSA) Government Grants	4%	93%	3%
Work for other Authorities	2%	98%	0%
Organic Certification	1%	96%	3%

Base: Number of responses to each question varies between 188 and 276.

Table 7.28 – Significant Sources of Income (>£10,000) By Country – 2012-13

Funding Source	Proportion of Respondents Receiving Significant Funding			
	England	Scotland	Wales	Northern Ireland
Export Certification	12%	44%	0%	4%
FSA Grants	27%	8%	71%	89%
Health Certificates	8%	27%	0%	0%
Organic Certification	2%	0%	0%	0%
Other	9%	5%	14%	4%
Other (non-FSA) Government Grants	4%	4%	0%	4%
PHA Duties	4%	0%	0%	8%
Primary Authority Relationships	8%	0%	0%	0%
Private Water Supplies	10%	35%	10%	4%
Recoveries via Proceeds of Crime Act	5%	0%	0%	0%
Sanitation Certificates	6%	8%	20%	4%
Training	19%	20%	0%	8%
Work for other Authorities	2%	0%	0%	4%

Base: Number of responses to each question varies between 138 and 209 for England, 23 and 28 for Northern Ireland, 19 and 26 for Scotland and 7 and 14 for Wales..

7.49   The survey also considered whether external funding was being assumed as part of the agreed budget for a food safety team. Clearly if external sources of funding are available (and their value can be reliably forecast) LAs can offset core funding against this. The frequency with which respondents indicated that external income was assumed in their budgets is shown in Table 7.29. The figures in this table are the percentages of responses to each specific question.

7.50   The list largely mirrors that for the significant levels of funding with the exception of FSA grants - where 33.7% of authorities marked these as significant sources but only 16.6% of respondents marked them as being included in their budget. For the majority/vast majority of cases, external

funding received is not assumed in the budget and any received (FSA grants, for example) is in addition to their core budget.

Table 7.29 – Income Sources Assumed in Budget Setting 2012-13

Funding Sources	Assumed	Not Assumed	Don't Know
Training	37%	62%	1%
Export Certification	34%	65%	1%
Private Water Supplies	29%	66%	5%
Health Certificates	23%	75%	2%
Sanitation Certificates	18%	79%	3%
FSA Grants	17%	82%	1%
Primary Authority Relationships	14%	84%	2%
PHA Duties	12%	83%	4%
Other	11%	83%	6%
Organic Certification	6%	89%	5%
Work for other Authorities	5%	93%	2%
Other (non-FSA) Government Grants	5%	92%	4%
Recoveries via Proceeds of Crime Act	1%	97%	3%

Base: Number of responses to each question varies between 99 and 217.

7.51   The survey also considered the historic trends in the value of external funding – has it grown or contracted – and expectations for the value of funding over the next two years. Respondents reported that the trend from 2009/10 has generally been for the value of income to rise or stay similar. 55% of Scottish authorities and 31% of Northern Irish authorities reported a fall in the level of funding from FSA grants but the general picture is that external funding is either remaining the same or increasing.

7.52   The predicted future trend is for income to stay largely the same, although the level of uncertainty is clearly higher. Notable points include:

o   the largest proportion of respondents in England, Scotland and Wales (and second highest in Northern Ireland) who expected a source to decrease in value indicated FSA grants as this source – although in general most respondents expected the value of these grants to remain the same or increase;

o   20% of English authorities responding expected Primary Authority funding to rise;

o   50% of Northern Irish authorities expected funding from training to rise.

7.53   The final aspect of external income covered by the survey was whether income earned was ring-fenced for food safety use or whether it was used as a general source of funding for the LA as a whole (Table 7.30). In general this income is not ring-fenced – the most significant exception (as would be expected) being the FSA grants.

Table 7.30 – External Income Sources Ring-Fenced for Food Safety Use – UK – 2012/13

Funding Source	Ring-Fenced	Not Ring-Fenced	Don't Know
Organic Certification	13%	43%	44%
Recoveries via Proceeds of Crime Act	11%	53%	36%
Work for other Authorities	13%	48%	39%
Other	20%	44%	36%
PHA Duties	16%	47%	37%
Sanitation Certificates	20%	45%	35%
Other (non-FSA) Government Grants	18%	38%	44%
Health Certificates	25%	44%	32%
Private Water Supplies	24%	51%	26%
Primary Authority Relationships	30%	35%	35%
Training	33%	46%	22%
Export Certification	33%	47%	20%
FSA Grants	76%	19%	5%

Base: Number of responses to each question varies between 61 and 184.

Specific Research Objective 2

7.54 This Specific Research Requirement states that the research should,

"Classify different modes of working and the prevalence of each across the UK, highlighting similarities and differences between how Official Controls are undertaken in Authorities both within and across the four UK nations."

7.55 The differences arising from different local government structures across the UK have been discussed earlier. The chief difference is that for Northern Ireland, Scotland and Wales the LAs are unitary authorities and deal with both Food Hygiene and Food Standards (often in combined teams) while in England, although there are a number of unitary authorities (plus the Metropolitan Borough Councils and London Boroughs), most areas have a two-tier structure meaning that for food safety, FH services reside in a District Council and FS services are located in a County Council.

7.56 The survey supplemented this with questions on the combinations of duties undertaken by food safety staff and types of staffing approach adopted for delivering services – in particular the extent to which contractors or the sharing of services with other authorities were used.

7.57 For Unitary Authorities (and for Scotland, Wales and Northern Ireland this is all authorities), the Food Hygiene and Food Standards are almost invariably combined into a single Food Safety team and for all countries the Infectious Disease work is almost invariably undertaken by Food Safety staff.

7.58 The picture that emerges from the data (outlined in more detail below) is one of most teams undertaking most tasks – other than laboratory services – within their own authorities and intelligence sharing with other authorities

and agencies is almost universal. There is very little expectation of change amongst the respondents.

7.59   In terms of detailed evidence, Tables 7.13 to 7.16 presented the analysis of responses to questions concerning the combinations of activities performed by FH and FS staff in Food Safety team. Further analysis of the patterns of activities undertaken by staff across responding authorities in each country within the UK are highlighted in Appendix J. In summary These results highlight that:

- o In Scotland and England, Health and Safety work is often combined with Food Safety work;
- o 63% of Scottish respondents indicated that all aspects of licensing were combined with Food Safety work – 3 to 4 times the rates for the rest of the UK;

7.60   Presented in tables 7.31 to 7.38 is the analysis of the questions relating to the organisation of formal sharing of services, outsourcing of services, informal joint working with other authorities and the sharing of intelligence. Results are based on the full set of responses to the survey. The associated questions in the survey looked to gauge the extent to which different patterns of working – in terms of sharing of services (formally or informally) with other authorities or the use of contractors or outsourcing – were in place or were expected to be introduced. These indicate that:

- o At the level of intelligence gathering/hazard spotting, Food Safety teams across the UK cover a wide range of regulatory and environmental health activities;
- o 20% of FH teams and 13% of FS teams work together informally with teams from other authorities – there is little informal working in any support areas;
- o 30% of respondents indicated that their authority was involved in a joint outsourcing of laboratory services with other authorities, with 10% jointly outsourcing IT;
- o 48% of responding authorities outsource laboratory services, 24% outsource IT services and 12% outsource legal services – 11% of authorities outsource their laboratory services to another authority;
- o 98% of FH teams and 99% of FS teams share intelligence with other authorities;
- o 92% of FH teams and 78% of FS teams share intelligence with other external organisations;
- o 91% of FH teams and 71% of FS teams share intelligence with other departments within their own authority;
- o 29% of FH teams and 31% of FS teams undertake joint work with other authorities;

Table 7.31 –Services Shared Informally With Another Authority – UK Responses

Scope	Answer	Admin Support	Food Hygiene	Food Standards	Laboratory Services	Legal Services	Other Services (eg IT)	Sampling Services
Are any services informally shared with another authority?	Yes but will change				1			
	Yes	9	43	25	17	15	11	20
	No but will change		6	2	1	1	4	4
	No	256	234	201	233	241	233	236

Table 7.32 – Services Jointly Outsourced With Other Authorities – UK Responses

Scope	Answer	Admin Support	Food Hygiene	Food Standards	Laboratory Services	Legal Services	Other Services (eg IT)	Sampling Services
Are any services outsourced jointly with other authorities?	Yes but will change		1	1			2	
	Yes	2	10	5	64	18	23	8
	No but will change	3	2	1	1	2	12	2
	No	274	272	226	205	254	228	264

Table 7.33 –Services Outsourced By Authority – UK Responses

Scope	Answer	Admin Support	Food Hygiene	Food Standards	Laboratory Services	Legal Services	Other Services (eg IT)	Sampling Services
Are any services outsourced to a commercial company?	Yes but will change	1	1		1			
	Yes	8	19	4	82	28	47	10
	No but will change	3	4	2			6	
	No	256	260	221	177	235	202	252

Table 7.34 –Services Outsourced To Another Authority – UK Responses

Scope	Answer	Admin Support	Food Hygiene	Food Standards	Laboratory Services	Legal Services	Other Services (eg IT)	Sampling Services
Are any services outsourced to another authority?	Yes but will change						1	
	Yes	4	6	7	25	19	14	5
	No but will change	1				1	8	1
	No	266	277	223	236	246	234	259

Table 7.35 –Intelligence Sharing With Other Authorities – UK Responses

Scope	Answer	Admin Support	Food Hygiene	Food Standards	Laboratory Services	Legal Services	Other Services (eg IT)	Sampling Services
Are there any arrangements for sharing intelligence with other LAs?	Yes but will change						2	1
	Yes	48	280	215	119	81	64	140
	No but will change	1	4	1	2			2
	No	182	6	28	109	146	150	94

Table 7.36 – Intelligence Sharing With Other Organisations– UK Responses

Scope	Answer	Admin Support	Food Hygiene	Food Standards	Laboratory Services	Legal Services	Other Services (eg IT)	Sampling Services
Are there any arrangements for sharing intelligence with other organisations (e.g. Police, HMRC, HPA or Public Health Wales)?	Yes but will change		1		1			
	Yes	31	268	185	101	65	50	102
	No but will change		3	1	1		1	
	No	197	19	51	125	159	163	135

Table 7.37 – Intelligence Sharing Within The Authority – UK Responses

Scope	Answer	Admin Support	Food Hygiene	Food Standards	Laboratory Services	Legal Services	Other Services (eg IT)	Sampling Services
Are there any arrangements for sharing intelligence within your own LA?	Yes but will change					1		
	Yes	95	261	164	73	119	85	92
	No but will change	3	5			1		
	No	138	21	68	153	114	136	141

Table 7.38 – Joint Working With Other Authorities – UK Responses

Scope	Answer	Admin Support	Food Hygiene	Food Standards	Laboratory Services	Legal Services	Other Services (eg IT)	Sampling Services
Is there joint working with another Authority?	Yes but will change	3	1	1	1	1	2	3
	Yes	13	82	75	102	65	78	60
	No but will change	17	20	8	2	9	15	11
	No	250	185	156	176	207	182	212

Specific Research Objectives 3 and 4

7.61   These Specific Research Requirements state that the research should,

“Identify how the Competent Authorities are addressing budget cuts over the short to medium term (in terms of budgets, structure, people, pay, activity and priorities) and identify how the Competent Authorities are changing as a result of new government policies.”

7.62   The survey provided insight to these research areas through questions covering:

o The prevalence of significant budget changes over the past three years (no formal definition of significant was given);
o Actual budget levels over the period;
o Numbers of staff in post;
o Changes in policy on delegation of authority;

o The levels of compliance with the FSA Code of Practice for a range of duties;
o Budget reduction strategies in LAs;
o Impacts of cost reduction strategies on food safety service delivery.

7.63 The general picture that emerges is one in which, although English and Scottish food safety teams have been more likely to experience significant budget reductions, the actual service across all four UK countries is largely untouched by this. Administrative posts are twice as likely to have been lost – although the level of loss is relatively low – and food safety teams have been far less impacted by redundancies and contracting out than other LA services. Compliance with the Code of Practice remains high, though authorities are starting to change their approaches to lower risk category inspections .Although relatively protected within their authorities, food safety teams are starting to worry about the implications of future LA funding cuts for their staff resources and training – but these are still minority views. The analysis supporting these findings is presented and discussed in more detail below.

7.64 Of those authorities that responded to the question on whether they had seen a significant budget change since 2009/10, 53% reported no significant change in budget and 47% reported significant changes (removing the 7% of null responses) (Table 7.39). While approximately half of English and Scottish respondents reported a significant change in their budget, 68% of Welsh authorities and 76% of Northern Irish authorities reported no significant changes (Table 7.40). The majority (75%) of FS only service providers had seen significant budget change, twice the proportion of FH only service teams (Table 7.41).

Table 7.39 – Significant Changes To Food Safety Budget Compared to 2009/10 – UK Responses

Significant Change to Budget	Number Of Responses	% Responses
Yes	134	44%
No	152	49%
(null)	22	7%
Total	308	100%

Table 7.40 – Significant Changes To Food Safety Budget Compared to 2009/10 – By Country

Country	Significant Change to Budget Since 2009/2010			Number of Responses
	Yes	No	(null)	
England	49%	46%	6%	233
Northern Ireland	7%	76%	17%	29
Scotland	56%	41%	4%	27
Wales	16%	68%	16%	19

Table 7.41 – Significant Changes To Food Safety Budget Compared to 2009/10 – Service Type

	Significant Change to Budget Since 2009/2010			
Country	Yes	No	(null)	Number of Responses
Both Food Hygiene and Food Standards	47%	46%	7%	148
Food Hygiene	36%	57%	7%	140
Food Standards	75%	20%	5%	20

7.65 The respondents were subsequently asked to quantify the changes year-on-year from 2009/10 and expected changes up to 2013/14 for the authority as a whole, for FH and for FS – or for the level at which the budget for FH/FS was set if different (for example, Environmental Health). The figures suggest an overall reduction in the budgets for FH and FS teams, but that the pattern is patchy across the UK.

7.66 However, extreme caution is urged in the interpretation of the responses obtained because:

o Budget data was the area requiring most support during the survey and had the most clarification questions following the close of the survey – it is obviously an area where respondents had more problems with the data;
o The range of differing pictures across the UK causes volatility in the data;
o Relatively few authorities set their budget at FH or FS levels – the FH and FS analysis is therefore based on smaller numbers of responses than for the analysis of responses where the budget is set at a higher level;
o The average values do not take into account the relative sizes of the budgets within the authorities;
o It is not known how inflation in the figures is treated.

7.67 Separate work is now under way as part of the Case Study Project and elsewhere in the FSA to compare the findings from various sources. Instead included here is an analysis of changes in the number of posts as a proxy for the budget figures. As the largest cost for all teams will be staff and therefore staff numbers will (to some extent – the grade profile needs to be considered) correlate with costs. It should, however, be noted that this approach does exclude sampling budgets which for Food Standards teams can be a significant portion of the overall budget.

7.68 The analysis of the changes in the number of posts for technical (non-admin) and dedicated admin posts for FS and FH teams for the same period (Table 7.42) shows that the decrease is expected to be 13.6% for FH and 10.5% for FS for dedicated admin posts. For technical staff, the figures are a decrease of 5.6% for FH and a decrease of 7% for FS. These figures support the suggestion that there have been reductions in budget.

Table 7.42 – Numbers Of Posts By Role And Year – UK Responses

Year	Dedicated Admin - Food Hygiene	Year on year % Change	Dedicated Admin - Food Standards	Year on year % Change	Food Hygiene - Excluding Admin	Year on year % Change	Food Standards - Excluding Admin	Year on year % Change	Grand Total	Year on year % Change
31-Mar-10	301		85		1743		754		2883	
31-Mar-11	286	-5.1%	80	-6.0%	1728	-0.9%	737	-2.2%	2831	-1.8%
31-Mar-12	259	-9.3%	75	-6.1%	1691	-2.1%	724	-1.8%	2750	-2.9%
31-March-2013 (est)	260	0.3%	76	1.3%	1645	-2.7%	701	-3.3%	2682	-2.4%

	Dedicated Admin - Food Hygiene	Dedicated Admin - Food Standards	Food Hygiene - Excluding Admin	Food Standards - Excluding Admin	Grand Total
Percentage Change between 31-Mar-10 and 31-Mar-13	-13.6%	-10.5%	-5.6%	-7.0%	-7.0%

7.69 If budgets are decreasing, there are a number of ways other than staffing cuts that cost reductions could be achieved:

- Through delegation of OC delivery tasks to less experienced/qualified staff (essentially changing the grade profile of the team to have more junior staff and lower wage costs);
- Through changing workloads – reducing the volume or duration of tasks to require less effort per annum (essentially departing from the Code of Practice);
- Through outsourcing of Food Safety tasks (looking for a cheaper delivery mechanism outside the authority);
- Through reductions in costs from support costs (reducing accommodation, IT, legal, etc costs).

These are now considered individually.

7.70 Tables 7.43 to 7.46 present the analysis of the responses to questions about delegation of OC delivery to either less experienced or less qualified FH staff. The figures show that across the UK 6% of responding authorities had delegated to less experienced staff, 5% had delegated to less qualified staff and 11% had plans to change the delegation in future. Comparing the responses between the four countries of the UK, the picture was very similar in England, Scotland and Northern Ireland but Welsh respondents indicated that there had been no changes in delegation and no plans for change.

7.71 Table 7.47 shows the equivalent analysis for FS teams. The picture is very similar, although the proportion of authorities that have made changes to

date is smaller (3% for both changes to the levels of experience and qualification).

7.72   This suggests that there have been some changes made but the scale of this is very small and the vast majority of authorities have not changed their delegation policy.

Table 7.43 – Delegation of Food Hygiene Duties – UK Responses

FOOD HYGIENE	% Total			% Yes + No	
Question	**Yes**	**No**	**(Null)**	**Yes**	**No**
Delegation to less Experienced Officers	5%	85%	10%	6%	94%
Delegation to less Qualified Officers	5%	84%	11%	5%	95%
Planning to change Delegation	9%	79%	12%	11%	89%

Base: 318 Authorities.

Table 7.44 – Delegation of Food Hygiene Duties To A Less Experienced Officer By Country

Country	Yes	No	(Null)	Yes	No	Number of Responses
England	6%	83%	12%	7%	93%	243
Northern Ireland	3%	93%	3%	4%	96%	29
Scotland	7%	93%	0%	7%	93%	27
Wales	0%	89%	11%	0%	100%	19

Table 7.45 – Delegation of Food Hygiene Duties To A Less Qualified Officer By Country

Country	Yes	No	(Null)	Yes	No	Number of Responses
England	4%	84%	12%	5%	95%	243
Northern Ireland	10%	79%	10%	12%	88%	29
Scotland	7%	89%	4%	8%	92%	27
Wales	0%	89%	11%	0%	100%	19

Table 7.46 – Planning To Change Delegation Rules By Country

Country	Yes	No	(Null)	Yes	No	Number of Responses
England	11%	76%	13%	13%	87%	243
Northern Ireland	0%	86%	14%	0%	100%	29
Scotland	11%	89%	0%	11%	89%	27
Wales	0%	89%	11%	0%	100%	19

Table 7.47 – Delegation of Food Standards Duties – UK Responses

FOOD STANDARDS	% Total			% Yes + No	
Question	Yes	No	(Null)	Yes	No
Delegation to less Experienced Officers	3%	94%	3%	3%	97%
Delegation to less Qualified Officers	3%	95%	1%	3%	97%
Planning to change Delegation	9%	82%	9%	10%	90%

Base: 154 Authorities.

7.73 Table 7.48 below presents the responses to questions regarding the (self-assessed) compliance of OC delivery activities against the Food Law Code of Practice.

7.74 The most notable results are the compliance proportions for Inspections activity. For FH activities the compliance is 99% for risk categories A and B and 90% for category C. For categories D and E the compliance is at the 80% level. For FS, the category A compliance is 96%, with the proportions for B and C as 71% and 67% respectively. In general the responses show that (at least in terms of self-assessment) the core OC delivery work is delivered in a way compliant with the Code of Practice with the exception of the category C inspections where 10% (FH) – 33% (FS) of inspections are not compliant.

Table 7.48 – Compliance With Code Of Practice By Activity – UK Responses

Service Area	% Yes	% No	Number of Responses
Approvals	100%	0%	262
Outbreak and Incident Management	100%	0%	280
Complaints/Intelligence & Policy	99%	1%	289
Enforcement and Prosecutions	99%	1%	293
Inspections - category A (food hygiene)	99%	1%	279
Inspections - category B (food hygiene)	99%	1%	280
Public Health	98%	2%	252
Business Advice and Education	98%	2%	288
Export Certification	98%	2%	216
Sampling Services	97%	3%	274
Imports - inland	97%	3%	220
Legal Services	96%	4%	255
Inspections - category A (food standards)	96%	4%	165
Internal Review/Audit	94%	6%	289
Intervention profile	94%	6%	265
Laboratory Services	92%	8%	232
Inspections - category C (food hygiene)	90%	10%	278
Home Authority role	86%	14%	194
Imports - ports	82%	18%	72
Inspections - category D (food hygiene)	81%	19%	277
Inspections - category E (food hygiene)	79%	21%	274
Inspections - category B (food standards)	71%	29%	163
Primary Authority role	69%	31%	118
Inspections - category C (food standards)	67%	33%	162
Vessels/Offshore (if appropriate)	66%	34%	59

7.75   The analysis of the responses regarding the use of contractors to deliver Food Safety activities is presented in Table 7.49. This shows that contractors are very rarely used exclusively to deliver aspects of the service – the only exception to this being laboratory services where 33% of respondents indicated that this was dealt with by contractors.

7.76   Interestingly more respondents indicated that a mixture of contract and permanent staff were involved in category C and D FH inspections (21% and 19% respectively) than for category E inspections (10%) – presumably because category E businesses were dealt with through alternative enforcement strategies which did not suit the use of contractors.

7.77   The general picture is that the vast majority of work is dealt with exclusively by permanent staff or a mixture of permanent and contract staff and very little has been completely contracted out.

Table 7.49 – Use of Contractors By Activity – UK Responses

Service Area	Total Responses	% of Responses		
		Permanent Staff	Contract Staff	Mixture of Permanent and Contract Staff
Vessels/Offshore (if appropriate)	50	100%	0%	0%
Export Certification	214	99%	0%	1%
Primary Authority role	99	97%	0%	3%
Approvals	256	97%	1%	2%
Home Authority role	167	96%	1%	3%
Internal Review/Audit	277	96%	1%	3%
Inspections - category A (food hygiene)	275	96%	0%	4%
Outbreak and Incident Management	270	96%	1%	3%
Enforcement and Prosecutions	282	95%	0%	5%
Inspections - category A (food standards)	163	94%	0%	6%
Imports - ports	67	94%	1%	4%
Complaints/Intelligence & Policy	283	94%	0%	6%
Public Health	247	94%	0%	6%
Inspections - category B (food standards)	155	93%	0%	7%
Inspections - category B (food hygiene)	275	92%	0%	8%
Imports - inland	209	91%	0%	9%
Intervention profile	253	91%	0%	9%
Business Advice and Education	280	90%	0%	10%
Sampling Services	255	90%	2%	8%
Inspections - category C (food standards)	150	88%	1%	11%
Inspections - category E (food hygiene)	256	87%	1%	12%
Legal Services	245	86%	4%	10%
Inspections - category D (food hygiene)	267	80%	1%	19%
Inspections - category C (food hygiene)	272	78%	1%	21%
Laboratory Services	188	61%	33%	6%

7.78   Table 7.50 shows the ranking of the cost-cutting measures (most used at the top) at an authority, and at the level of the FH and FS teams. The percentages shown are the proportion of respondents indicating that this measure has been applied over the past 3 years. Across all respondents the same approaches are indicated as being the most used – pay freezes and tighter budgetary control. This puts downwards pressure on the cost of delivering frontline services. Others which are high on the list include restructuring, loss of posts, reprioritisation of elements of the service and cuts to the service. However, it is noticeable that redundancies, sharing of services and contracting out of services which are relatively common at an authority level are not common for the FH and FS teams – and loss of training posts does not seem common at any level. The picture is therefore one of budgets being cut through pay freezes, tighter control and, to a lesser extent, loss of posts and reorganisations/restructuring. However, there has been little contracting out of services and little sharing of services to date.

7.79   Table 7.51 considers the equivalent rankings for likely measures to respond to the expected cuts for 2012/13 and 2013/14. The percentages shown are the proportion of respondents indicating that they expect these measure to

be used in the next two years. The expectations are very similar to the past approaches adopted, with the exception that loss of posts and cuts to services are lower for FH and FS teams than they were and a move to home-working/hot-desking/mobile-working higher on the list of expected approaches. This suggests that FH and FS teams expect that cutting of posts and services is less likely to happen and that other areas – targeting accommodation costs – are more likely to be adopted.

Table 7.50 – Ranking of Historic Cost Cutting Measures

Authority	FH	FS
Pay Freeze/reduction (60%)	Pay Freeze/reduction (53%)	Pay Freeze/reduction (58%)
Tighter control on budgets (57%)	Tighter control on budgets (53%)	Tighter control on budgets (55%)
Loss of posts (45%)	Restructuring/Reorganisation (28%)	Re-prioritisation of elements of the service (34%)
Restructuring/Reorganisation (44%)	Re-prioritisation of elements of the service (28%)	Loss of posts (29%)
Redundancies (36%)	Loss of posts (27%)	Restructuring/Reorganisation (28%)
Re-prioritisation of elements of the service (34%)	Home Working (19%)	Cuts to service provided (21%)
Cuts to service provided (30%)	Cuts to service provided (15%)	Home Working (19%)
Home Working (21%)	Redundancies (15%)	Hot Desking (17%)
Sharing of services (21%)	Mobile Working (14%)	Redundancies (16%)
Contracting out services (18%)	Loss of allowances (e.g. car allowance) (13%)	Limit to Travel Budget (16%)
Job re-grading	Limit to Travel Budget	Loss of allowances (e.g. car allowance)
Reduction in Training	Hot Desking	Mobile Working
Loss of allowances (e.g. car allowance)	Reduction in Training	Reduction in Training
Mobile Working	Job re-grading	Centralisation of administration
Hot Desking	Centralisation of administration	Job re-grading
Removal of specific budgets	Relocation	Relocation
Limit to Travel Budget	Loss of training posts	Removal of specific budgets
Centralisation of administration	Removal of specific budgets	Loss of training posts
Loss of training posts	Sharing of services	Contracting out services
Relocation	Contracting out services	Sharing of services
Loss of Leave	Loss of Leave	Loss of Leave
Other	Other	Other

Table 7.51 – Ranking of Future Cost Cutting Measures

Authority	FH	FS
Tighter control on budgets (60%)	Tighter control on budgets (57%)	Tighter control on budgets (60%)
Pay Freeze/reduction (50%)	Pay Freeze/reduction (47%)	Pay Freeze/reduction (49%)
Restructuring/Reorganisation (45%)	Re-prioritisation of elements of the service (39%)	Re-prioritisation of elements of the service (41%)
Re-prioritisation of elements of the service (44%)	Restructuring/Reorganisation (31%)	Restructuring/Reorganisation (33%)
Loss of posts (42%)	Mobile Working (30%)	Hot Desking (31%)
Redundancies (36%)	Home Working (28%)	Mobile Working (31%)
Cuts to service provided (31%)	Hot Desking (27%)	Home Working (27%)
Mobile Working (31%)	Loss of posts (21%)	Loss of posts (25%)
Home Working (29%)	Cuts to service provided (18%)	Cuts to service provided (21%)
Hot Desking (29%)	Limit to Travel Budget (18%)	Limit to Travel Budget (21%)
Sharing of services	Reduction in Training	Reduction in Training
Reduction in Training	Redundancies	Redundancies
Limit to Travel Budget	Loss of allowances (e.g. car allowance)	Centralisation of administration
Contracting out services	Centralisation of administration	Loss of allowances (e.g. car allowance)
Removal of specific budgets	Sharing of services	Sharing of services
Job re-grading	Job re-grading	Relocation
Centralisation of administration	Removal of specific budgets	Job re-grading
Loss of allowances (e.g. car allowance)	Relocation	Removal of specific budgets
Relocation	Loss of training posts	Loss of training posts
Loss of training posts	Contracting out services	Contracting out services
Other	Other	Other
Loss of Leave	Loss of Leave	Loss of Leave

7.80   Table 7.52 below presents the analysis of the scale of impact of changes on aspects of the service – taken across all responses (ie combined for FH and FS). Given the preceding analysis – that has indicated that the scale of changes has been relatively small and that most FH/FS teams have made few significant changes to structure or service delivery - the findings outlined in Table 7.52 are not surprising.

7.81   Other than for the impact on staff numbers, 50% or more of the responding authorities indicated no impact in each of the areas considered. Indeed the most notable findings are that 11% of respondents reported significant decreases in staff numbers and 12% reported a significant reduction in the number of inspections carried out. 52% of respondents identified a slight reduction in staffing and 25-30% reported slight negative impacts on the ability of the teams to deliver their service and to train staff. However, the general impression is that the impact of changes has either been neutral or slightly negative.

Table 7.52 – Significant Historic Impact On Service Delivery Of Cost Reduction Measures – UK Responses

Question	Significantly improved	Slightly improved	Slightly reduced	Significantly reduced	No Impact
Ability to comply with Food Law CoP	1%	5%	29%	6%	58%
Ability to improve business compliance	3%	14%	28%	5%	50%
Affect on consumer protection	2%	4%	33%	3%	58%
Amount and quality of training and development	2%	5%	27%	2%	64%
Number of Formal Enforcement actions	2%	13%	12%	1%	72%
Number of inspections	1%	7%	29%	12%	51%
Staff Numbers	1%	3%	52%	11%	33%
Staff Retention	2%	6%	13%	2%	76%

Base: Number of responses to each question country combination varies between 222 and 281

7.82   Appendix J has equivalent analyses for England/Scotland/Wales/Northern Ireland and for FH, FS and Both FH and FS (Tables J-051 to J-058). The results from these show some regional and service differences, which may be summarised as:

- o Authorities in Wales and Northern Ireland report less impact than those in England and Scotland, reflecting the differences in budget cuts across the UK;
- o 75% of Scottish authorities and 69% of English authorities report (slight or significant) reductions in staff numbers, compared to equivalent figures of 31% and 14% in Wales and Northern Ireland;
- o 41% and 33% of authorities in England and Scotland reported a reduction in their ability to comply with the Food Law CoP compared to 0% and 9% in Wales and Northern Ireland;
- o 57% of FH only respondents and 94% of FS only respondents reported reductions in staff numbers, compared to 64% for combined FH and FS respondents;
- o 68% of FS only respondents reported a reduced ability to comply with the Food Law CoP, compared to 26% for FH only respondents and 40% for combined FH and FS respondents.

7.83   The impact of future changes Is expected to be very similar to those that have already occurred (presented in Table 7.53) – with most respondents expecting slight or neutral impacts on the various aspects of the delivery of the service. Respondents again indicated staff numbers and the number of visits as the most likely to see a slight reduction but were more pessimistic about the likelihood of a negative impact on the amount and quality of training. However, again the general mood was that slight or no impact on service delivery was by far the most likely outcome of future changes.

7.84   This is echoed by the ranking of impacts given in Table 7.53, with the number of inspections and staff resources ranked as the most likely to be affected by changes.

Table 7.53 – Cost Reduction Impact On Services Expected 2012/13 To 2013/14 – UK Responses

Question	Significantly improved	Slightly improved	Slightly reduced	Significantly reduced	No Impact
	Percentage of Responses				
Ability to comply with Food Law Code of Practice	0%	4%	34%	5%	57%
Ability to improve business compliance	1%	7%	35%	6%	50%
Affect on consumer protection	1%	3%	35%	4%	57%
Amount and quality of training and development	0%	2%	37%	5%	55%
Number of Formal Enforcement actions	0%	7%	20%	3%	69%
Number of Inspections	0%	5%	44%	7%	45%
Staff Numbers	0%	3%	41%	5%	52%
Staff Retention	1%	4%	25%	3%	66%

Base: Number of responses to each question country combination varies between 179 and 269

7.85 Appendix J has equivalent analyses for England/Scotland/Wales/Northern Ireland and for FH, FS and Both FH and FS (Tables J-059 to J-066). The results from these show some regional and service differences, which may be summarised as:

- o The expectations in England and Scotland are very similar (both to each other and the UK picture) but 62% of Scottish authorities expect further reductions in staff numbers;
- o In Wales and Northern Ireland the general expectation is for no future impacts (Wales) or slight/no negative impact (Northern Ireland) - the only exception being that 23% of Welsh LAs and 45% of Northern Irish respondents expected a slight or significant reduction in the number of inspections.

Specific Research Objective 5

7.86 This Specific Research Requirement states that the research should,

"Identify and capture any evidence of Competent Authorities ranking the priority of Official Control delivery against the delivery of other competing services within the Authority. If there is evidence of prioritisation, what was the relative priority of food and feed Official Controls and how was it determined?"

7.87 The survey asked a series of questions about the extent to which the food safety service was seen as a high priority in the authority and the important factors driving the development of Service plans and an analysis of the responses to these questions is presented in Table 7.54.

7.88   The responses indicate that:

- 67% of respondents either strongly or moderately agreed that FH/FS are high priorities in their authority;
- 53% of respondents agreed that the food lead was involved in setting the strategic priorities for their authority;
- 98% agreed that the FSA strategic priorities were reflected in their plans;
- 84% agreed that Service Plans were reviewed by the elected members;
- 93% agreed that their Service Plans were driven by the provisions of the Code of Practice; and
- 58% agreed that the FH budget was set by someone with FH experience (51% for FS).

7.89   The picture is therefore one of a service that is driven both by the FSA strategic views and Code of Practice and that is seen as a high priority in their authority (perhaps in part because it is a statutory duty).

7.90   These responses are personal opinions (usually from the Head of Service) and therefore it may be that there is some potential for subconscious bias (in terms of the importance of their services) and a need to agree that FSA strategic priorities are reflected in their plans. However, the same views were reflected in conversations during the visits to authorities at the start of the project (albeit this was a small group of 20 authorities) and there is no fundamental reason to doubt the responses given.

Table 7.54 – Priorities, Planning and Budget Perceptions – UK Responses

Question	% Total (ex N/A)		
	Strongly Agree	Moderately Agree	Moderately Disagree
Food Standards and/or Hygiene are a high strategic priority with the authority.	26%	41%	21%
Food lead is involved in the setting of strategic priorities for the authority.	22%	31%	16%
Food Service plans take into account FSA strategic priorities.	70%	28%	1%
Service Plans are driven by the need to protect consumers in relation to risk from food.	84%	13%	2%
Food Service plans are reviewed by elected members.	57%	27%	8%
Service Plans are driven by the need to implement the provisions of the Food Law Code of Practice.	72%	21%	5%
Service Plans are driven by the need to meet the service planning guidance in the framework agreement.	68%	24%	6%
Food Hygiene budget is set by someone with food hygiene expertise.	33%	25%	19%
Food Standards budget is set by someone with food standards expertise.	28%	23%	23%

Base: 305 Responses

8 – The Survey Database

8.1 The survey data has been captured in a MS Access database which has been provided to the RDOC programme team. Requests to access the survey data should be addressed to Ceri Cooper of FSA at

ceri.cooper@foodstandards.gsi.gov.uk

8.2 The database includes:

- o all full responses
- o all partial responses where permission was given to use the response
- o all verified data items (where data quality measures identified suspect data and it could not be verified, the data was excluded);
- o tables to link the identification of LAs/PHAs with lists used by DCLG (RA5/RO5) and FSA (LAEMS);
- o a series of queries to extract data for each question of the questionnaire;
- o queries to produce specific reports.

8.3 Also provided to FSA were a set of extracts from the survey database in Excel format. These also include the analyses used to produce the tables in this report. The extracts were correct at the time of passing the database to FSA – should the database be updated in future the extracts will need to be reviewed and, potentially, refreshed.

9 Concluding Remarks

9.1 The work on this project has been successful and has provided FSA with a rich dataset to complement the in-house LAEMS data. Identification of useful existing datasets was complemented by a comprehensive survey to fill data gaps. An illustrative analysis of this data has been presented but the most significant output from the project is a comprehensive database, which will allow further analysis by the FSA and enhance their understanding of the delivery landscape.

The Project Process

9.2 The data requirements of the RDOC Programme were wide ranging, based on a need to understand the details of how the OC services were delivered and identify the scope for change and the impact of this change. LAEMS, Service Plans and ONS data were the best of the existing sources of data but LAEMS and ONS data had a time lag (albeit shorter than some standard reports) and Service Plans would need considerable work to extract information (and some are not published).

9.3 The Data Gap that was identified between what was required by FSA and what was readily available was significant and additional data collection was required. The majority of the data required was suitable for data collection via a survey, but some data was identified as being more effectively collected (for a sample of LAs) via interviews – this was undertaken by a separate research project – FS616021.

9.4 LAs/PHAs were very helpful and supported the survey design process. The use of an online survey tool worked well and very few technical problems were encountered. The survey response rate was high - 67% across the UK - and the survey responses were a representative sample of the national picture. Finance questions were the least answered but the response rate across questions was generally very good.

The Key Findings

9.5 Service Plans are almost invariably ratified by elected members, giving good potential for visibility of the service within authorities. Just over 50% of responders at least moderately agreed that food safety was a strategic priority for the authority. Food Safety budgets generally form part of a higher level budget. Just under half of the respondents reported that they had seen a change they felt was significant to their food safety budget since 2009/10 – the proportions reporting this were higher for England and Scotland than for Wales and Northern Ireland. They were also higher for food standards teams than those with responsibility for food hygiene only or food standards and hygiene together;

9.6 This trend is reflected in the staffing levels. For Food Hygiene these have fallen 5.6% over the same period across all responders for technical staff

and by 13.6% for administrative staff. The equivalent figures for Food Standards are 7% (technical staff) and 10.5% (admin staff);

9.7 The impact of these changes has been most keenly felt on authories' ability to undertake inspections of food establishment (12% felt this had reduced significantly, a further 29% slightly reduced). Yet the impact on outcomes like business compliance and consumer protection were thought to be lower (5% and 3% LAs respectively reported a significant reduction in capacity in these areas, much higher numbers reported slight reductions). Negative impacts of change were not universal around 15% of LAs reported improved (slightly and significantly) capacity for undertaking formal enforcement and improving business compliance

9.8 The impacts have been more significant in England and Scotland (primarily in terms of reduced staff numbers and the implied ability to deliver the Food Law CoP) than in Wales and Northern Ireland. The impact is reported to have been greater on FS than FH;

9.9 Expectations for future impacts mirror the impact patterns to date;

9.10 The survey showed some evidence that FH and FS budgets were reducing, though not by as much as overall authority budgets – but the budget data was the least frequently supplied. However, despite budget pressures, very few LAs are adopting radical service delivery solutions and most savings come from small-scale staffing reductions and controls on salary and reductions in support costs within the LA;

9.11 The majority of LAs have a traditional delivery model, where Food Safety activities are combined with other Environmental Health or Regulatory duties in all but the largest authorities. Yet more than 1 in 10 authorities report not being compliant with code of practice in areas like inspection of establishments in some risk categories and home/primary authorities' schemes;

9.12 Training for core competencies continues to be supported, although training places, particularly funded places, are under pressure and decreasing;

9.13 Local Authority food teams found it difficult to measure or predict the impact of future cuts. The data they supplied in this survey suggest that the full effect of reductions have not been felt yet (for example 46% expect further slight or significant impacts on staff numbers; there is an expected increase in number of authorities delegating work to less qualified/experienced officers). However, the expectation is that the impact to come will primarily be on staff conditions of service rather than cuts to the Food Safety services themselves;

9.14 In terms of the impact this might have on future delivery and outcomes respondents in LAs expect the pattern of change to be similar to that seen in recent years – most LAs report no impact or improvement, and under 10% a significant reduction in capacity across the areas questioned. However the

proportion of authorities reporting slight or significant changes increased across all areas except staff reductions;

9.15   The most frequently mentioned adverse impact continues to be the number of inspections (51% LAs expected to see a slight or significant reduction) the least common is formal enforcement (23% LAs expected to see a slight or significant reduction).Training and development and staff retention are the largest growing concerns concern for LAs in the future – the number of LAs expecting to see slight or significant impacts here in the coming years increased to 42% (from 29% who reported seeing change over the last three years).

APPENDIX A – JANUARY 2011 BOARD REPORT DIAGRAM

Figure 1 - Division of responsibility for official food controls - at a glance

Developing and Implementing food law	**FSA** • General - traceability, rapid alert system (RASFF), delivery of official controls • Import controls - public health aspects, fish/fishery products and products of non-animal origin • Labelling – food safety aspects • Biological safety - e.g. food hygiene, TSEs. • Chemical safety - e.g. additives, contaminants, food contact materials, • Radiological safety – Irradiation of food • Novel and GM foods	**Defra (and its agencies), the SG RD, RA and DARD** • Imports controls - animal health aspects for products of animal origin • Labelling – general, beef labelling and protected food names Composition and standards - organic produce, bottled waters, fat spreads, chocolate, • Biological safety - certain rules relating to TSEs • Residues of pesticides • Residues of veterinary products (VMD)	**DH** • Composition and standards - foods for particular nutritional use • Labelling - nutritional, health claims

Ensuring that food satisfies the requirements of food law	Farm	All stages of production, processing and distribution → **Food Business Operators** (Approximately 600,000 establishments, plus approximately 195,000 holdings at primary production level.)	Fork

Delivery of Official controls in respect of food law	**Central level**				**Local level**		
	FSA (on UK wide basis) • Inspection and approval of food irradiation facilities • Approval of fresh meat premises • Classification of shellfish harvesting areas • Hygiene controls - fresh meat • SRM controls **AHDH (on behalf of the FSA)** • Hygiene controls - milk production holdings **AHEM/SGRPID (on behalf of the FSA)** • Hygiene controls - egg production units	**Defra (on UK-wide basis)** • Organisation of protected food names scheme • Overseeing system for certification of organic produce • Policy on general labelling • Recognition of natural mineral waters from non-EEA countries **VMD** • Veterinary medicine drug residue surveillance **HSE (CRD)** • Pesticide residue monitoring and enforcement **RPA** • Beef labelling for England & Wales	**DARD (on behalf of FSA)** • Hygiene controls primary production • fresh meat, milk production holdings/liquid milk premises, egg production units/packing stations **DARD** • SRM controls • Overseeing system for certification of organic produce • Beef labelling	**SG RD** • Beef labelling	**Local authorities in England and Wales** • Official controls and enforcement of the main body of food law, including imported food controls (all food law except that enforced by the central Departments and their Agencies)	**Local authorities in Scotland** • Official controls and enforcement of the main body of food law, including imported food controls (all food law except that enforced by the central Departments and their Agencies) • AHDH/DARD role - hygiene controls at milk production holdings	**District Councils in Northern Ireland** • Official controls and enforcement of the main body of food law (all food law except that enforced by DARD)

Figure 2 - Division of responsibility for official feed controls - at a glance

Developing and Implementing feed law	**FSA** • General - traceability, rapid alert system (RASFF), official controls • Import controls • Labelling • Biological safety - e.g. feed hygiene • Chemical safety - prohibited and undesirable substances • Biotechnology - GM feed	**Defra (and its agencies), the SG RD, RA and DARD** • Animal by-products - feed ban, *Salmonellas* etc. • Medicated feed • Chemical safety - specified feed additives • •Composition and standards

Ensuring that feed satisfies the requirements of feed law	Farm	All stages of production, processing and distribution → **Feed Business Operators** (Approximately 140,000 business in the UK - this includes farms.)	Feed trough

Official controls in respect of feed law	**Central level**				**Local level**	
	VMD • Medicated feed • Specified feed additives • Veterinary medicine drug residue surveillance	**CRD** • Pesticide residue monitoring and enforcement	**Animal Health** • Animal protein in feed ban	**DARD** • All feed law controls in Northern Ireland	**Local authorities in England and Wales** • Official controls and enforcement of the main body of feed law, including imported feed (all feed law not enforced by Defra and its Agencies)	**Local authorities in Scotland** • Official controls and enforcement of the main body of feed law, including imported feed (all feed law not enforced by Defra and its Agencies)

ABBREVIATIONS

AHDH - Animal Health Dairy Hygiene	RA - Welsh Assembly Government Department, for Rural Affairs
AHEM - Animal Health Egg Marketing	RASFF - Rapid Alert System for Feed and Food
CRD - Chemical Regulations Directorate (agency of HSE)	RPA - Rural Payments Agency
DARD - Department for Agriculture and Rural Development for Northern Ireland	SG RD - Scottish Government Rural Directorate
Defra - Department for Environment Food and Rural Affairs	SGRPID - Scottish Government Rural Payments and Inspections Directorate
DH - Department of Health	SRM - Specified Risk Material
FSA - Food Standards Agency	TSE - Transmissible Spongiform Encephalopathies
HSE - Health and Safety Executive	VMD - Veterinary Medicines Directorate

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Annex B

Current delivery model

A. Local Authority (LA) food law official controls delivery

1. Most food (and feed) official controls in the UK are delivered by local and port health authorities. The 2008-09 Local Authority Enforcement Monitoring (LAEMS) data shows that LAs are responsible for ensuring food safety compliance in over 560,000 establishments, comprising approximately 400,000 catering and restaurant premises, 130,000 retailers and 16,000 food manufacturers.

2. Controls across the UK are generally carried out by Environmental Health and Trading Standards professional teams. Trading standards services, working at a Unitary and County level, have historically enforced food standards (composition & labelling) and feed legislation. Environmental health services working at Unitary and District Council level enforce food hygiene controls. More recently, as local authorities have reviewed their resources, food standards activity has increasingly been enforced through environmental health services in Unitary authorities. In Northern Ireland, food hygiene and food standards controls are both delivered by Environmental Health Services within District Councils.

3. Imported food and feed controls are delivered through these services at the port health authorities and other UK points of entry, and as part of the routine official controls at inland authorities. The exception is Northern Ireland, where feed controls are carried out by the Department of Agriculture and rural Development.

4. Routine food business inspections by local authorities are increasingly carried out alongside other regulatory activities, such as occupational health & safety, liquor licensing, pest control, infectious disease control, waste management and pollution control. Food officers also input into wider regulatory and health promotion responsibilities such as relevant planning applications and local public health strategies.

5. The local authority food safety enforcement approach is set down in a Statutory Code of Practice, which includes the minimum intervention frequencies for official controls in food businesses. These frequencies are risk based and depend on a rating score allocated to the premises as part of the inspection process. **See table 1 below.**

6. Category A food businesses are highest risk, requiring a food hygiene inspection at least every 6 months and a food standards intervention at least every 12 months. Changes to the Code of Practice in 2008 have supported greater targeting of higher risk operations by allowing more flexibility in the nature and frequency of interventions carried out by authorities in lower risk establishments. In the lowest risk establishments an alternative enforcement approach which might not involve an on-site check may be adopted.

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Table 1: Number of UK Food Establishments by Risk Rating and Sector

	Primary producers	Manufacturers and Packers	Importers/ Exporters	Distributors/ Transporters	Retailers	Restaurants and Caterers	Total
A	39	686	2	21	442	3,344	4,534
B	111	2,957	11	139	4,151	38,480	45,849
C	418	5,395	124	1,390	35,267	193,574	236,168
D	605	2,242	142	2,132	27,724	47,909	80,754
E	1,539	2,710	412	4,054	55,107	75,970	139,792
Unrated (i)	1,158	1,526	208	1,105	9,572	28,944	42,513
Outside (ii)	814	327	74	540	2,051	8,038	11,844
Total	4,684	15,843	973	9,381	134,314	396,259	561,454

(i) Establishments that are yet to be assessed for a risk rating
(ii) Establishments assessed to be so low risk they are not included in the intervention programme

7. Annual LAEMS enforcement returns evidence LA enforcement activity, approach and the impact on business compliance levels. Enforcement data from 2008-09 and the preliminary data (ref) for 2009-10 indicate:

- Annually, over 500,000 on-site food hygiene and food standards checks of food businesses are delivered by LAs..

- Over 70,000 complaints have been investigated by LAs in each of the last two years. These are complaints from local consumers about the safety and quality of food items and the hygiene standards of establishments.

- LAs take over 150,000 enforcement actions annually as a result of their intervention programmes. The majority of enforcement actions are written warning letters. . **See table 2 below.**

Table 2: Total Number of Enforcement actions taken by LA 2008-09 (UK)

Voluntary closure	Seizure, detention & surrender of food	Suspension/ revocation of approval or licence	Emergency prohibition notice	Prohibition order	Simple caution	Improvement notices	Remedial action & detention notices	Written warnings	Prosecutions concluded
608	377	19	235	82	346	6082	31	147,805	305

8. Information on imported food controls is provided within the Imported foods paper being considered separately by FSA Board.

9. Local authorities have an obligation to notify the FSA of food incidents. 20% of the 1,208 incidents notified to the Food Standards Agency in 2009 were from Local Authority sources

10. Local Authorities also tackle food fraud, reporting intelligence to the Agency who collates this information across the UK to identify emerging patterns of fraudulent activity. Findings are forwarded to

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local authorities in order to help them effectively target their enforcement activity. The level of food fraud related intelligence received by the Agency has increased year on year since the inception of the food fraud database in 2007. **See graph below**.
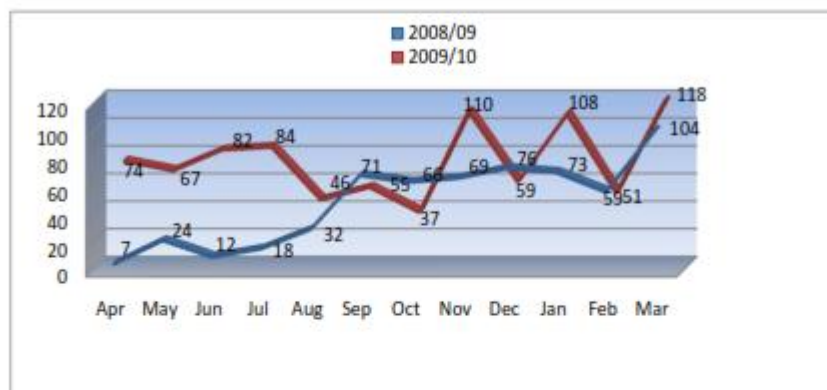
11. The 2008-09 LAEMS data indicated there were 2,861 FTE professional LA staff delivering official food controls in the UK authorities. Of these staff 68% were engaged in work on food hygiene. The overall cost of this activity is estimated at £136m[1] for 2008/9. The corresponding UK cost of food standards work is estimated as £64m by scaling in proportion to the FTE staff.

12. The Agency provides support to local authorities via the "Fighting Fund". The Fighting Fund was set up in 2003 as the Agency recognised that investigations, particularly those concerning food related fraud, can be prohibitively resource intensive for local authorities. In 2009/10 the Agency received 7 applications for support from local authorities. The total amount of funding awarded was £55,612. Since 2003 there have been over 50 applications to the fighting fund from various local authorities across the UK. To date, approximately £900,000 has been awarded to over 40 successful applicants.

13. Agency also provides funding to LAs through specific support such as low cost training programmes and grants. During 2009-10 the Agency trained over 2000 LA officers as part of low cost training initiatives. In addition, approximately £1m was allocated to authorities last year to target imported food and feed activity.

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[1] The basis of the estimate was a DCLG figure of £111m for food safety work in England, scaled to the UK as a whole in proportion to the number of local authorities involved

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B. Animal feed and food hygiene at primary production official controls
   delivery

   1. The current responsibilities for animal feed controls and food hygiene at
      estimated 111,000 primary production establishments in the UK are
      undertaken by a mix of different government agencies, with
      overlapping responsibilities leading to duplication of effort and
      increased burdens on industry. There are also gaps in the delivery of
      high risk areas that are key food and feed safety issues for the FSA,
      caused by a disparity of funding arrangements, the distribution of
      enforcement responsibilities, limited and competing resources at a
      local level and reliance on delivery partners over whom we have no
      direct control.

   2. Delivery of official controls on feed for which the FSA acts as CCA
      include controls on feed composition, labelling, marketing and use,
      additives, undesirable substances, prohibited materials, GMO's in feed
      and pet foods. Delivery is undertaken in England by 154 feed
      authorities (Country Councils, Unitary Authorities, Port Health
      Authorities, Metropolitan Borough Councils and London Boroughs) and
      in Scotland and Wales by 32 and 22 Unitary Authorities respectively,
      largely through Trading Standards personnel. In Northern Ireland (NI)
      feed controls are delivered by the Department of Agriculture and Rural
      Development - Quality Assurance Branch (DARD-QAB) as LAs have
      no involvement in any feed or agricultural functions.

   3. In addition to the estimated 111,000 primary producers there are:

      - 1,277 Animal feed manufacturers and packers
      - 55 feed importers
      - 1,037 transporters and distributors

      Local Authorities undertook 7,173 scheduled inspections, 2,467
      advisory visits and 2,431 other active interventions on these
      establishments in 2009[2] . Almost 2,000 samples of feedstuff were also
      taken by trading standards officers.

   4. Delivery of official controls on feed for which Defra act as CCA are
      undertaken by their Executive Agencies. Animal Health (AH) are
      responsible for TSE feed ban controls and the Animal By-product
      illegal waste feeding programme and the Animal Medicines
      Inspectorate (AMI who are part of the Veterinary Medicines Directorate
      (VMD)) are responsible for controls medicated feedingstuffs. In NI
      these controls are also delivered by DARD.

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[2] 2009 Animal Feed Return

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Annex B

5. Delivery of food hygiene at primary production across the UK is the responsibility of the FSA. Controls are delivered; through a mix of County Councils, Unitary Authorities, Port Health Authorities, London Boroughs and Metropolitan Bough Councils in England; by Unitary Authorities in Wales; by Unitary Authorities and the Scottish Government Rural Payments Inspections Directorate (SGRPID) in Scotland and by DARD – QAB via an SLA with the FSA in NI. Controls are delivered either by Trading Standards (TS) or Environmental Health (EH) colleagues in GB depending on qualifications and competencies.

6. Responsibility for inspections of primary producers making claims under the EU Single Payment Scheme (SPS) are performed in England by the Rural Payments Agency (RPA - an Executive Agency of Defra), in Scotland by SGRPID, a Department of the Scottish Government and in Wales by Rural Inspectorate Wales (RIW - a Department of the Welsh Assembly Government). Inspections include compliance checks on food and feed hygiene legislation at primary production (Statutory Management Requirement 11).

C. Delivery of Official Controls via Service Level Agreements (SLA) and Contracts Currently under review

Shellfish

1. In Scotland, 9 LAs deliver official controls through negotiated SLAs. A total of 32 FTE officers are employed by LAs to carry out microbiological and biotoxin sampling and dispatch of shellfish and water samples. This SLA currently costs FSA £425.000 per year. Sanitary surveys and depuration work is carried by Cefas, under contract with Scottish Association Marine science (SAMs), Veromra and Marine Scotland. the Testing of samples is carried out through SLAs and a number on contracts with suppliers. Total costs of controls in Scotland £2,753,803.

2. In England and Wales, collection and dispatch of these samples are carried out by LAs as a requirement of the food hygiene regulations, Sanitary surveys and classification and depuration are carried out by Cefas under negotiated SLAs. Total costs of controls in England and Wales £1,455,837.

3. In Northern Ireland, testing is carried out by AFBI and collection is carried out by Local Authority and a private contractor under contract. Depuration and classification is undertaken partly by Cefas and some work is in house. Total cost of controls in Northern Ireland £435,087.

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Annex B

Table3: Number of Shellfish beds, UK 2008

	E & W	S	NI
Number of Beds/Sites (exc. prohibited)	384	266	43
Number of monitoring points (microbiological)	384	174	43
Number of monitoring points (biotoxins)	384	88	43

Table 4: Microbiological Shellfish Sampling (UK, 2008)

	E & W	S	NI
Number of tests[1]	3,720	1,480	341
Number of tests requirement investigations	119	0	0
% Investigation	3.2%	0.0%	0.0%
Number of tests resulting in Action States[9]	29	2	0
% Action states	0.8%	0.1%	0.0%

Table 5: Shellfish Biotoxin Sampling (UK, 2008)

All biotoxins	E & W	S	NI
Number of tests[1]	3,042	6,711	1157
Number of positives results[1]	6	54	2
% Positives	0.2%	0.8%	0.2%

Dairy Hygiene

1. 32 LAs in Scotland carry out dairy hygiene controls based on the food law code of practice (Scotland) risk rating system that rates Dairy farms as low risk premises and equated to 2 year visits and can be stretched to 3 years for compliant premises. Consequently, funding of official control is via the revenue support grant and is not a direct cost to FSA[3].

2. England and Wales hygiene controls are delivered by Animal Health Dairy Hygiene Inspectors (24 FTEs) who conduct 11,330 visits in 2009/10 on just over 11,000 dairy holdings. All establishments are rated across 4 risk bandings with the majority falling within the 12 to 18 month inspection frequency. These primary inspections generate around an additional 1000 re-visits throughout the year.

3. Dairy holdings retailing raw milk direct to the consumer are within the highest risk category requiring at least a 6 month inspection frequency

4. Controls in Northern Ireland are carried out by Department of Agriculture Rural Development Quality Assurance (DARD/QAB) under a negotiated service level agreement.

5. Total cost of official controls delivery in England is £1,351,000, Wales £289,970, Northern Ireland £520,996(dairy production holdings) and £179,295 (Dairy Products).

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[3] Figures on the number of dairy holdings, activity and outcome for Dairy Hygiene official controls in Scotland are included in the LAEMS figures in section A.

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Annex B

Eggs

1. England and Wales delivery of official controls is carried out by Animal Health Egg Marketing Inspectors (EMI) via a 4 year service level agreement. This requires all laying flocks larger than 350 birds to be inspected once in the 4 year cycle, there are around 1,500 active producers with flocks of this size in England and Wales This service level agreement is due to be renewed March 2011. Cost of controls in England and Wales £80,000, Northern Ireland £8,694.

2. Northern Ireland controls are carried out by Department of Agriculture and Rural Development Quality Assurance Branch (DARD/QAB) cover laying flocks and egg packing plants as well. Scottish Government Rural Payments & Inspections Department (SGRPID) undertake this work on behalf of FSA in Scotland at a cost of £3,000 per annum.

D. Meat official controls delivery

In Great Britain this is delivered by the FSA Ops Group, this is carried out by employed and contracted Meat Hygiene Inspectors and Official Veterinarians.
Figures on the number of establishments covered by these controls and the level of activity is given in tables 3 to 5 below.

Table 3: Number of premises operating Oct 09 - Mar 10

Red meat slaughterhouses	271
White meat slaughterhouses	87
Total slaughterhouses	358
Cutting plants	804
Total premises	1162

Table 4: Number of FBO audits for Apr 09 to Mar 10

Slaughterhouse/game handling establishments	695
Cutting plants	1253
Audit follow-up visits at cutting plants	54
VC removal supervision in OTM cattle	176
Totals	2178

Table 5: Number of enforcements for April 09 to March 10

	No of actions taken	No of premises
Written Advice	2068	264
Hygiene Improvement Notices	192	44
Remedial Action Notices	75	31
Recommendations for Prosecution	114	45

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Annex B

Cost of controls in GB is £55,300,000. (gross or net of charges etc)

In Northern Ireland controls are delivered through DARD via service level agreement at a cost of £6,602,000.

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Appendix C – Data Requirements

Vital Statistics

- The numbers and types of business for each LA;
- Primary Authority agreements/partnerships for each LA
- Number of Meat Businesses for each LA
- Population (and appropriate breakdowns) for each LA
- Regional and country profiles (P41)
- Local profiles (P42)
- Deprivation Indices(P43)
- List of Port Health Authorities

Organisation

- Duties for members, and staff (in terms of authority hierarchy) in terms of:
  - Ratifying the Service Plans
  - Ratifying the Enforcement Policy
  - Planning Budgets
  - Allocating Budgets
  - Controlling Budgets
    - Day-to-day Operational Control

  - The Food Safety/Food Standards qualifications of the members, and staff responsible for:
    - Ratifying the Service Plans
    - Ratifying the Enforcement Policy
    - Planning Budgets
    - Allocating Budgets
    - Controlling Budgets
      - Day-to-day Operational Control
- The budgets for 2010/11, 2011/12 and 2012/13:
  - At the level at which the budget is set and managed
  - For Food Safety (if available)
    - For Food Standards (if available)
- Whether the budgets above include (and the value, if available):
  - Contractors
  - Lab Services
  - Sampling Services
  - IT
  - Legal Services
  - HR
    - Accommodation
- Whether FS/FH staff are also involved in Hazard Spotting for
  - Food Hygiene

- o Food Standards
- o Trading Standards
- o Health and Safety
- o Noise Control
- o Pollution Control
- o Infectious diseases
- o Drinking Water
- o Health Promotion
- o Licensing
  - o Other EH Activities
- Whether FS/FH staff are also involved in Inspections for
  - o Food Hygiene
  - o Food Standards
  - o Trading Standards
  - o Health and Safety
  - o Noise Control
  - o Pollution Control
  - o Infectious diseases
  - o Drinking Water
  - o Health Promotion
  - o Licensing
    - o Other EH Activities
- Whether FS/FH staff are also involved in Other EH Aspects for
  - o Food Hygiene
  - o Food Standards
  - o Trading Standards
  - o Health and Safety
  - o Noise Control
  - o Pollution Control
  - o Infectious diseases
  - o Drinking Water
  - o Health Promotion
  - o Licensing
    - o Other EH Activities

Notes

1. Northern Ireland has currently two additional operational levels above the basic Authority level (4 groups plus a province level) which need to be included – this may require a NI specific format for collecting this information.

Prioritisation, Planning and Budget Allocation Processes

- The involvement of the Food Hygiene/Standards Manager in
    - Preparing Initial Budgeted Plan
    - Taking into account Past Trends
        - Taking Into account Authority Strategies
- The involvement of the Senior Manager (e.g. Environmental Health Manager, Trading Standards Manager, Regulatory Services Manager) in
    - Preparing Initial Budgeted Plan
    - Taking into account Past Trends
        - Taking Into account Authority Strategies
- The involvement of the Directors in
    - Preparing Initial Budgeted Plan
    - Taking into account Past Trends
        - Taking Into account Authority Strategies
- The involvement of the Members in
    - Preparing Initial Budgeted Plan
    - Taking into account Past Trends
        - Taking Into account Authority Strategies
- The involvement of the Food Hygiene/Standards Manager in
    - Setting Directorate Budget
    - Setting EH Budget
    - Setting formal FH Budget
        - Setting Indicative FH Budget
- The involvement of the Senior Manager (e.g. Environmental Health Manager, Trading Standards Manager, Regulatory Services Manager) in
    - Setting Directorate Budget
    - Setting EH Budget
    - Setting formal FH Budget
    - Setting Indicative FH Budget
- The involvement of the Directors in
    - Setting Directorate Budget
    - Setting EH Budget
    - Setting formal FH Budget
        - Setting Indicative FH Budget
- The involvement of the Members in
    - Setting Directorate Budget
    - Setting EH Budget
    - Setting formal FH Budget
        - Setting Indicative FH Budget

Operating Model

- For each of

- o Inspections
- o Intervention profile
- o Complaints/Intelligence & Policy
- o Business Advice and Education
- o Internal Review/Audit
- o Enforcement and Prosecutions
- o Primary Authority & Home Authority role
- o Legal Services (any volumes and success rate information as well)
- o Laboratory Services
- o Sampling Services
- o Approvals
- o Export Certification
- o Imports
- o Public Health
- o Outbreak and Incident Management
- o Contact Materials (if appropriate)
- o Vessels/Offshore (if appropriate)
- o Management Information
- o Performance Monitoring and Risk Assessment
- o Quality Assurance and Continuous improvement
  - o Out of Hours Food Service
- The following information – where appropriate:
  - o If the activity is delivered as per CoP
  - o If the activity is delivered by permanent staff
  - o If the activity is fully Contracted out
  - o If the activity is partially Contracted out
  - o The volumes of work for each (or number of premises if more appropriate)
  - o Textual description
    - o Specific additional information

Joint Working

- Whether any of the following methods are used:
  - o Joint working with another Authority?
  - o Services outsourced jointly with other authorities?
  - o Services outsourced to another authority?
  - o Services outsourced to a commercial company?
  - o Informal arrangements for sharing intelligence with other directorates within the LA?
  - o Informal arrangements for sharing intelligence with other LAs?
    - o Informal arrangements for sharing intelligence with other organisations (e.g. Police, HPA)?

- To deliver some or all of:
    - Food Hygiene
    - Food Standards
    - Admin Support
    - Legal Services
    - Sampling Services
    - Laboratory Services
        - Other (authority-specified)

Staff Qualification v Role

- Grades used by FH/FS staff, defining
    - the title of the grade
    - the qualification requirements for that grade
    - the experience level for that grade
    - the skills required for that grade
    - the roles performed by that grade
        - the salary range for that grade
- The FTE by grade
    - those in post at 31-March-2012
    - the vacancies at 31-March-2012
- Whether a MIS is used for the FH and FS teams (separately) and, if so:
    - Which system is used
    - Whether this provides workflow information (i.e. if it records effort against specific activities) and, if so:
        - Whether the authority would be willing to allow the Case Study Project to analyse this data

Planned Changes and Expected Impacts

- The trajectory of budget cuts (where known) as a % of 2009/2010 budget by year (from 2010/11 up to and including 2014/15) for
    - The authority
    - Environmental Health
    - Trading Standards (if Food Standards is not part of EH)
    - Food Hygiene
    - Food Standards
- The measures to be adopted to deliver the cuts by year (from 2010/11 up to and including 2014/15) for
    - The authority
    - Environmental Health
    - Trading Standards (if Food Standards is not part of EH)
    - Food Hygiene
    - Food Standards
- The direct impact of the measures on Food Standards and Food Hygiene for each of the measures identified
- The indirect impact of the measures on Food Standards and Food Hygiene for each of the measures identified

Notes

Scotland, Northern Ireland and Wales are not affected by the CSR cuts in the same way as English LAs – this information will need to be collected in a way appropriate to the country.

Sources of External Funding

- Total income generated from external sources
    - o By source
- Whether revenue reinvested in food safety or used centrally by authority

Development and Recruitment

- For each of FH and FS
    - o Total training budget (2010/11 and 2012/13)
    - o Number and funding status of training places (2010/11 and 2012/13)
    - o For each grade for 2010/11, 2011/12 and 2012/13
        - number of staff recruited
        - number of staff promoted to grade
        - number of staff leaving through
        - resignation
        - voluntary exit/redundancy/early retirement

APPENDIX D – VISIT TEMPLATE

Team Visits Template – For Team Use Only

Purpose of visits is to look at the variations in OC delivery processes and the practical scope and feasibility for collecting information on processes, organisation and future plans for OC Delivery.

The visits will aim to identify:

- o the ease of collecting the required information
- o the currency of the data likely to be available in Summer 2012
- o the likely sources (electronic systems, manual counts, etc.)
- o the likely burden on data providers in delivering the data.

Visit will cover the following topics

1. Authority Organisation
2. Prioritisation of Food Standards & Hygiene within Authority
3. Operating Model
4. Joint Working
5. Staff Qualification v Role
6. Changes To Deal With Cuts
7. Impact on Activity
8. Sources of External Funding
9. Development and Recruitment
10. Communications

Authority name: _____

Authority type: _____

Date of visit: _____

Authority contact(s) _____

Visited by: _____

We will have to adjust these according to the type of LA ie

	Role	
Authority Type	Food Standards	Food Hygiene
District councils		✓
Counties	✓	
Unitaries and London Boroughs	✓	✓
Scottish and Welsh Authorities	✓	✓

General Points

In general

    Past = 2009/10

    Present = 2012/13

    Future = 2013/14

But it may be necessary to vary this (if data sources do not match) or to collect annual data for some information (for example the implementation of CSR cuts may be phased in different ways in different authorities).

Port Health Authorities will not recognise "cuts" as they are essentially self-funding. This does not mean that there are not changes planned or that there might not be some implications if services are shared with LAs.

Welsh LAs food safety teams also have protected funding – though other LA changes will impact on them (reduced mileage allowances, for example).

National differences across the UK mean that there isn't an automatic read-across from (say) a rural LA in one country compared to another.

When collecting data (in the survey in Phase 2) it may be best to ask for references in documents – but for this exercise we only need to know that the data is available in this manner.

1. Organisation

– Past, Present and Future (Table for each – but items for past/future if they will/have change(d))

Information Required	Information available?	Who?	Sources?	Time Period Available	Effort/Time to collect	Cost Implication	Comments
Organisation Chart o Authority o Food Group o Regional/Shared Services (if appropriate)							
Reporting Lines and Responsibilities o Within Food Group o To SMT/Directors o To Members							
Service Plan o Is it ratified o Who is it ratified by o Is it published o Is it informed by assessment of local risks (analysis and trends) o Do staffing levels reflect what is needed or what is available (or both)							
Enforcement Policy o Is it ratified o Who is it ratified by o Is it published o Is it used o Does it link to funding decisions							
Who directly manages the operational delivery of (and what is their technical qualification) for o food hygiene o food standards o support/back office activities							
Who has budget responsibility (and what is their technical qualification) for o food hygiene o food standards							

o support/back office activities						
Who has overall director responsibility (and what is their technical qualification?) for o food hygiene o food standards o support/back office activities						
What is the planned complement of permanent and short term contract staff (FTE and number of staff full + part time) for o food hygiene – by grade o food standards – by grade o support/back office staff by grade						
What is the budget of ad hoc external staff/contractors for o food hygiene o food standards						
What is the planned budget o food hygiene o food standards o support activities						
What is the budget for o Laboratory services o Sampling services						
What is the cost of Administrative support if centrally provided						
What central costs are allocated for IT, legal, HR support etc ie "overheads"						
What joint responsibilities do staff have (eg with health and safety, environmental health, noise, pollution, corporate health, etc) o food hygiene o food standards						

2. Prioritisation of Food Standards & Hygiene within Authority

- Past, Present and Future

Information Required	Information available?	Who?	Sources?	Time Period Available	Effort/Time to collect	Cost Implication	Comments
What is the method and planning cycle for allocating funds across all Authority Services?							
What are the main drivers for allocation of funding?							
Does budget allocation map to authority objectives and priorities?							
At what level is the food group budget allocation made?							
Does the food group influence the budget setting process (if so, how)?							
Does the food group have full control over their budget once allocated?							
How does food group expenditure compare with budget (Past only)?							

3. Operating Model (If not covered by Service Plan and Enforcement Policy)

Information Required	Information available?	Who?	Sources?	Time Period Available	Effort/Time to collect	Cost Implication	Comments
Inspection regime							
Intervention profile							
Complaints/Intelligence & Policy							
Business Advice and Education							
Internal Review/Audit							
Enforcement and Prosecutions							
Primary Authority & Home Authority role							
Legal Services (any volumes and success rate information as well)							
Laboratory Services							
Sampling Services							
Approvals							
Export Certification							
Imports							
Public Health							
Outbreak and Incident Management							
Contact Materials (if appropriate)							
Vessels/Offshore (if appropriate)							

Management Information							
Performance Monitoring and Risk Assessment Including the recording of regulatory actions (number, type) and analysis							
Quality Assurance and Continuous improvement							
Out of Hours Food Service							

These are intended to be narrative descriptions that could be supplied. We should check if they are explicitly covered in core documents – the data collection could then allow the document to be referenced (name, date and page/para).

Note: This list is not exhaustive and may need to be extended as other activities are considered during interviews

4. Joint Working

- Past, Present and Future

Information Required	Information available?	Who?	Sources?	Time Period Available	Effort/Time to collect	Cost Implication	Comments
What joint working with other Authorities o by service o including support (eg legal services)							
Are any services outsourced jointly with other authorities? o by service o including support							
Are any services outsourced to other authorities? o by service o including support							
Are there any informal arrangements for sharing intelligence: o within the authority o with other authorities o with other bodies							

5. Staff Qualification v Role

- Past and Present

Information Required	Information available?	Who?	Sources?	Time Period Available	Effort/Time to collect	Cost Implication	Comments
Matrix of staff grade title v qualifications, experience and skills/activities, competencies (Table 1)							
What are the typical pay scales (last cols of Table 1)							
Matrix of role v staff grade (table 2)							
Matrix of role v FTE (table 3)							
Possibility of FTE by Risk Rating, Food Supply Chain component, or activity type (e.g. staff management, enforcement, inspection, advice/guidance, admin etc.)							

Table 1

	Degree	Hygiene Qual	1-5 years	6-10 years	10 + years	Skill 1	Skill 2	etc	Pay Min	Pay Max
Grade 1	x				x	x	X		£20,000	£25,000
Grade 2	x			x		x	X			
Grade 3		x	x				X			

Table 2

	Lead Officer	EHO	TSO	Role 4			etc
Grade 1	x						
Grade 2		x	x				
Grade 3				x			

Table 3

	Lead Officer	EHO	TSO	Role 4			etc
Grade 1							
Grade 2							
Grade 3							

6. Changes To Deal With Cuts (Will need to reflect differences for PHAs – self-funding –, Wales and NI)

- for 2009/10 – 2013/14

Information Required	Information available?	Who?	Sources?	Time Period Available	Effort/Time to collect	Cost Implication	Comments
Timetable for cuts							
Matrix of measures being implemented for Authority as a whole – potentially look at safety and standards separately							
Matrix of measures being implemented for Authority for OC delivery							

Table 4 – Potentially separate tables for separate Safety and Standards teams.

	2009/10		2010/11		2011/12		2012/13		2013/14etc	
	Authority	OC	Authority	OC	Authority	OC	Authority	OC	Authority	OC
Cut level for year	0%	0%	5%	0%	10%	10%	13%	5%	0%	0%
Measures with a direct impact on Food Safety/Standards										
Measure 1	x		x							
Measure 2	x	x	x	x	x	x			x	
Measure 3	x						x			
Etc										
Measures with an indirect impact on Food Safety/Standards										
Measure 1	x		x							

Measure 2	x	x	x	x	x	x			x	
Measure 3	x						x			
Etc										

Measures may be pay freeze /reduction, recruitment freeze, restructuring, relocation, change in service levels

7. Impact on Activity (If not in Service Plan)

Information Required	Information available?	Who?	Sources?	Time Period Available	Effort/Time to collect	Cost Implication	Comments
For Measures with a direct impact on Food Safety/Standards o Expected changes to activity, interventions and formal enforcement o Ability to deliver CoP for Food Safety and Standards o Impact on outcomes (attitudinal?)							
For Measures with an indirect impact on Food Safety/Standards o Expected changes to activity, interventions and formal enforcement o Ability to deliver CoP for Food Safety and Standards o Impact on outcomes (attitudinal?)							

8. Sources of External Funding

- Past, Present and Future

Information Required	Information available?	Who?	Sources?	Time Period Available	Effort/Time to collect	Cost Implication	Comments
Matrix of sources v use (Table 5)							
Total income generated from external sources - by source							
Is revenue reinvested in food safety or used centrally by authority							

Table 5

	Use 1	Use 2	Use 3	Use 4	etc			
Source 1								
Source 2								
Source 3								
Source 4								
etc								

9. Development and Recruitment

- Past, present and Future

Information Required	Information available?	Who?	Sources?	Time Period Available	Effort/Time to collect	Cost Implication	Comments
List of training and development measures used							
Budget by measure – (could be more, about same, less against 2009/10 baseline)							
Vacancies by grade							
Recruitment (and promotion) by grade							
Early Retirement and Voluntary exit numbers by grade							
Training Places – are these available and funded							
Views on sustainability (attitudinal?)							

10. Communications

Information Required	Information available?	Who?	Sources?	Time Period Available	Effort/Time to collect	Cost Implication	Comments
Matrix of methods v organisations Includes communications to and from authority							

Table 6

	FSA	Within LA	Business	Consumers	HSE	OGD	Etc	
Method 1								
Method 2								
Method 3								
Etc								

APPENDIX E – DATA SOURCE REVIEW

DATA SOURCE	Vital statistics/Workload Context	Dept Structure	Service priority	Deliver/ deployment structure	Co-delivery of other services	Levels and types of activity or interventions	Levels and types of formal enforcement	Levels and types of outcomes	Range of responsibilities within Official Controls teams	Job title and qualification used to deliver these	Available and required resources	Budgets	Response to budget cuts	Sources of funding	External income streams	Training & personal development	Communications
P1 – LAEMS	✓					✓	✓	✓			✓						
P2a - DCLG/CIPFA revenue forms[7]												✓					
P2b - Revenue forms (Welsh Government)[8]												✓					
P2c - MOA revenue forms[9]												✓					
P2d – Local Government Finance Returns[10]												?					
P3 - UK Food Sampling and Surveillance						✓											

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[7] England outturn and budget figures only

[8] Wales only

[9] NI only

[10] Scotland only

DATA SOURCE	Vital statistics/Workload Context	Dept Structure	Service priority	Deliver/ deployment structure	Co-delivery of other services	Levels and types of activity or interventions	Levels and types of formal enforcement	Levels and types of outcomes	Range of responsibilities within Official Controls teams	Job title and qualification used to deliver these	Available and required resources	Budgets	Response to budget cuts	Sources of funding	External income streams	Training & personal development	Communications
(UKFSS) database[11]																	
P4 - Food Hygiene Rating Scheme (FHRS) / Food Hygiene Information Scheme (FHIS)[12]								✓									
P5 - Scores on the doors[13]								✓									
P6 - Incidents database						✓											
P7 - HMRC database on imported food enforcement notices																	

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[11] Not complete coverage of UK

[12] Not complete coverage of UK. Scotland – FHIS Rest of UK - FHRS

[13] Replaced by FHRS/FHIS

DATA SOURCE	Vital statistics/Workload Context	Dept Structure	Service priority	Deliver/ deployment structure	Co-delivery of other services	Levels and types of activity or interventions	Levels and types of formal enforcement	Levels and types of outcomes	Range of responsibilities within Official Controls teams	Job title and qualification used to deliver these	Available and required resources	Budgets	Response to budget cuts	Sources of funding	External income streams	Training & personal development	Communications
P7 - HMRC database on imported food enforcement notices																	
P8 - FSA audit reports		✓	✓	✓	✓	✓	✓	✓	✓	✓	✓			?		✓	
P9 - Official Controls Directive (OCD) database	✓					✓											
P10 - Official controls on animal feed: enforcement activities.						✓	✓										
P11 - National Co-ordinated Risk Based Food and Feed Sampling						✓								✓			

DATA SOURCE	Vital statistics/Workload Context	Dept Structure	Service priority	Deliver/ deployment structure	Co-delivery of other services	Levels and types of activity or interventions	Levels and types of formal enforcement	Levels and types of outcomes	Range of responsibilities within Official Controls teams	Job title and qualification used to deliver these	Available and required resources	Budgets	Response to budget cuts	Sources of funding	External income streams	Training & personal development	Communications
Programme																	
P12 - Data on the grants provided by us to LAs for rolling out SFBB and further training needs														✓			
P13 - Data on funds provided to LAs for specific projects targeting fraud														✓			
P14 – RASFF (Rapid Food Alerts)																	
P15 - Imported food/feed OC data						✓											
P16 - Food Fraud						✓											

Data Source	Vital statistics/Workload Context	Dept Structure	Service priority	Deliver/ deployment structure	Co-delivery of other services	Levels and types of activity or interventions	Levels and types of formal enforcement	Levels and types of outcomes	Range of responsibilities within Official Controls teams	Job title and qualification used to deliver these	Available and required resources	Budgets	Response to budget cuts	Sources of funding	External income streams	Training & personal development	Communications
Database																	
P17 - EFSA EMRISK outputs																	
P18 - HPA/LACORS microbiological surveys						✔											
P19 - Wales Review of food law enforcement survey[14]		✔		✔	✔											✔	
P22 - List of NRLs																	
P23 - List of OCLs																	

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[14] Survey of Welsh LAs only in December 2010

DATA SOURCE	Vital statistics/Workload Context	Dept Structure	Service priority	Deliver/ deployment structure	Co-delivery of other services	Levels and types of activity or interventions	Levels and types of formal enforcement	Levels and types of outcomes	Range of responsibilities within Official Controls teams	Job title and qualification used to deliver these	Available and required resources	Budgets	Response to budget cuts	Sources of funding	External income streams	Training & personal development	Communications
P24 - Helpline consumer calls																	
P25 - Defra's annual food statistics pocketbook	✓																
P26 - Register of Feed Business Operators	✓																
P27 - CEFAS sampling and classification	✓																
P28 - Wales dashboard																	
P29 - Premises surveys						✓		✓									

DATA SOURCE	Vital statistics/Workload Context	Dept Structure	Service priority	Deliver/ deployment structure	Co-delivery of other services	Levels and types of activity or interventions	Levels and types of formal enforcement	Levels and types of outcomes	Range of responsibilities within Official Controls teams	Job title and qualification used to deliver these	Available and required resources	Budgets	Response to budget cuts	Sources of funding	External income streams	Training & personal development	Communications
P30 - Scottish Primary Production Official Controls System (SPPOCS)[15]	✔					✔		✔									
P31 - Primary Authority Database	✔																
P33 - Food poisoning / infectious disease control data								✔									
P34 - Census of UK population	✔																
P35 - List of registered FBOs	✔																
P36 - LA Individual Management						✔	✔	✔			✔	✔					

---

[15] Scotland only

DATA SOURCE	Vital statistics/Workload Context	Dept Structure	Service priority	Deliver/ deployment structure	Co-delivery of other services	Levels and types of activity or interventions	Levels and types of formal enforcement	Levels and types of outcomes	Range of responsibilities within Official Controls teams	Job title and qualification used to deliver these	Available and required resources	Budgets	Response to budget cuts	Sources of funding	External income streams	Training & personal development	Communications
Systems (databases) e.g. FLARE																	
P38 - Defra database of enforcement notices (Ilaps)							✓										
P39 - Prohibited FBOs database							✓										
P40 - DoH list of port health authorities	✓																
P41 - Municipal directory	✓																
P42 - Regional and country profiles	✓																
P42 - Local profiles	✓																

DATA SOURCE	Vital statistics/Workload Context	Dept Structure	Service priority	Deliver/ deployment structure	Co-delivery of other services	Levels and types of activity or interventions	Levels and types of formal enforcement	Levels and types of outcomes	Range of responsibilities within Official Controls teams	Job title and qualification used to deliver these	Available and required resources	Budgets	Response to budget cuts	Sources of funding	External income streams	Training & personal development	Communications
P43 - Atlas of deprivation	✓																
P44 - Population estimates	✓																
P45 - APHA list of ports	✓																
S1 – LA Service Delivery/Food Safety Plans	✓	✓	✓	✓		✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓

* Note three sources removed from the above table. P20 – Pennington action plan as not a primary source, P21 details of RSG payments to RSG duplicates P2, and P37 national feed enforcement priorities as feed not included within the scope of the review.

APPENDIX F – REVISED LIST OF DATA REQUIREMENTS

Vital Statistics

Organisation

- Duties for members, and staff (in terms of authority hierarchy) in terms of:
    - Ratifying the Service Plans
    - Ratifying the Enforcement Policy
    - Planning Budgets
    - Allocating Budgets
    - Controlling Budgets
        - Day-to-day Operational Control

    - The Food Safety/Food Standards qualifications of the members, and staff responsible for:
    - Ratifying the Service Plans
    - Ratifying the Enforcement Policy
    - Planning Budgets
    - Allocating Budgets
    - Controlling Budgets
        - Day-to-day Operational Control
- The budgets for 2010/11, 2011/12 and 2012/13:
    - At the level at which the budget is set and managed
    - For Food Safety (if available)
        - For Food Standards (if available)
- Whether the budgets above include (and the value, if available):
    - Contractors
    - Lab Services
    - Sampling Services
    - IT
    - Legal Services
    - HR
        - Accommodation
- Whether FS/FH staff are also involved in Hazard Spotting for
    - Food Hygiene
    - Food Standards
    - Trading Standards
    - Health and Safety
    - Noise Control
    - Pollution Control
    - Infectious diseases

- - o Drinking Water
  - o Health Promotion
  - o Licensing
    - o Other EH Activities
- Whether FS/FH staff are also involved in Inspections for
  - o Food Hygiene
  - o Food Standards
  - o Trading Standards
  - o Health and Safety
  - o Noise Control
  - o Pollution Control
  - o Infectious diseases
  - o Drinking Water
  - o Health Promotion
  - o Licensing
    - o Other EH Activities
- Whether FS/FH staff are also involved in Other EH Aspects for
  - o Food Hygiene
  - o Food Standards
  - o Trading Standards
  - o Health and Safety
  - o Noise Control
  - o Pollution Control
  - o Infectious diseases
  - o Drinking Water
  - o Health Promotion
  - o Licensing
    - o Other EH Activities

Notes

Northern Ireland has currently two additional operational levels above the basic Authority level (4 groups plus a province level) which need to be included – this may require a NI specific format for collecting this information.

Prioritisation, Planning and Budget Allocation Processes

- The involvement of the Food Hygiene/Standards Manager in
  - o Preparing Initial Budgeted Plan
  - o Taking into account Past Trends
    - o Taking Into account Authority Strategies
- The involvement of the Senior Manager (e.g. Environmental Health Manager, Trading Standards Manager, Regulatory Services Manager) in

- o Preparing Initial Budgeted Plan
- o Taking into account Past Trends
  - o Taking Into account Authority Strategies
- The involvement of the Directors in
  - o Preparing Initial Budgeted Plan
  - o Taking into account Past Trends
    - o Taking Into account Authority Strategies
- The involvement of the Members in
  - o Preparing Initial Budgeted Plan
  - o Taking into account Past Trends
    - o Taking Into account Authority Strategies
- The involvement of the Food Hygiene/Standards Manager in
  - o Setting Directorate Budget
  - o Setting EH Budget
  - o Setting formal FH Budget
    - o Setting Indicative FH Budget
- The involvement of the Senior Manager (e.g. Environmental Health Manager, Trading Standards Manager, Regulatory Services Manager) in
  - o Setting Directorate Budget
  - o Setting EH Budget
  - o Setting formal FH Budget
  - o Setting Indicative FH Budget
- The involvement of the Directors in
  - o Setting Directorate Budget
  - o Setting EH Budget
  - o Setting formal FH Budget
    - o Setting Indicative FH Budget
- The involvement of the Members in
  - o Setting Directorate Budget
  - o Setting EH Budget
  - o Setting formal FH Budget
    - o Setting Indicative FH Budget

Operating Model

- For each of
  - o Inspections
  - o Intervention profile
  - o Complaints/Intelligence & Policy
  - o Business Advice and Education
  - o Internal Review/Audit

- - o Enforcement and Prosecutions
  - o Primary Authority & Home Authority role
  - o Legal Services (any volumes and success rate information as well)
  - o Laboratory Services
  - o Sampling Services
  - o Approvals
  - o Export Certification
  - o Imports
  - o Public Health
  - o Outbreak and Incident Management
  - o Contact Materials (if appropriate)
  - o Vessels/Offshore (if appropriate)
  - o Management Information
  - o Performance Monitoring and Risk Assessment
  - o Quality Assurance and Continuous improvement
    - o Out of Hours Food Service
- The following information – where appropriate:
  - o If the activity is delivered as per CoP
  - o If the activity is delivered by permanent staff
  - o If the activity is fully Contracted out
  - o If the activity is partially Contracted out
  - o The volumes of work for each (or number of premises if more appropriate) –
  - o Textual description
    - o Specific additional information

Joint Working

- Whether any of the following methods are used:
  - o Joint working with another Authority?
  - o Services outsourced jointly with other authorities?
  - o Services outsourced to another authority?
  - o Services outsourced to a commercial company?
  - o Informal arrangements for sharing intelligence with other directorates within the LA?
  - o Informal arrangements for sharing intelligence with other LAs?
    - o Informal arrangements for sharing intelligence with other organisations (e.g. Police, HPA)?
  - - To deliver some or all of:
  - o Food Hygiene
  - o Food Standards
  - o Admin Support
  - o Legal Services
  - o Sampling Services

- Laboratory Services
  - Other (authority-specified)

Staff Qualification v Role

- Grades used by FH/FS staff, defining

    - the title of the grade
    - the qualification requirements for that grade
    - the experience level for that grade
    - the skills required for that grade
    - the roles performed by that grade
        - the salary range for that grade
- The FTE by grade

    - those in post at 31-March-2012
    - the vacancies at 31-March-2012
- Whether a MIS is used for the FH and FS teams (separately) and, if so:

    - Which system is used
    - Whether this provides workflow information (i.e. if it records effort against specific activities) and, if so:
        - Whether the authority would be willing to allow Project D to analyse this data

Planned Changes and Expected Impacts

- The trajectory of budget cuts (where known) as a % of 2009/2010 budget by year (from 2010/11 up to and including 2014/15) for
    - The authority
    - Environmental Health
    - Trading Standards (if Food Standards is not part of EH)
    - Food Hygiene
    - Food Standards

- The measures to be adopted to deliver the cuts by year (from 2010/11 up to and including 2014/15) for
    - The authority
    - Environmental Health
    - Trading Standards (if Food Standards is not part of EH)
    - Food Hygiene
    - Food Standards

- The direct impact of the measures on Food Standards and Food Hygiene for each of the measures identified

- The indirect impact of the measures on Food Standards and Food Hygiene for each of the measures identified

Notes

Scotland, Northern Ireland and Wales are not affected by the CSR cuts in the same way as English LAs – this information will need to be collected in a way appropriate to the country.

Sources of External Funding

- Total income generated from external sources

    o By source

- Whether revenue reinvested in food safety or used centrally by authority

Development and Recruitment

- For each of FH and FS

    o Total training budget (2010/11 and 2012/13)

    o Number and funding status of training places (2010/11 and 2012/13)

    o For each grade for 2010/11, 2011/12 and 2012/13

        - number of staff recruited

        - number of staff promoted to grade

        - number of staff leaving through

        - resignation

        - voluntary exit/redundancy/early retirement

APPENDIX G – FSA DATA SOURCE LIST

FSA Spreadsheet Ref	Data Source
	Primary Sources
P1	LAEMS
P2a	DCLG/CIPFA revenue forms
P2b	Revenue forms (Welsh Government)
P2c	MOA revenue forms
P2d	Local Government Finance Returns
P3	UK Food Sampling and Surveillance (UKFSS) database
P4	Food Hygiene Rating Scheme (FHRS) / Food Hygiene Information Scheme (FHIS)
P5	Scores on the doors
P6	Incidents database
P7	HMRC data on food/feed imports
P8	Q Pulse (audit database)
P9	Official Controls Directive (OCD) database
P10	Official controls on animal feed: enforcement activities.
P11	National Co-ordinated Risk Based Food and Feed Sampling Programme
P12	data on the grants provided by us to LAs for rolling out SFBB and further training needs
P13	Data on funds provided to LAs for specific projects targeting fraud
P14	RASFF
P15	Imported food/feed OC data
P16	Food Fraud Database (England, Scotland, Wales and NI)
P17	EFSA EMRISK outputs
P18	HPA/LACORS microbiological surveys
P19	Wales Review of food law enforcement
P20	Pennington action plan
P21	Details of RSG payments to LAs and expenditure by 'food safety' subhead 1999-2009
P22	List of NRLs
P23	List of OCLs
P24	Helpline consumer calls
P25	Defra's annual food statistics pocketbook
P26	Register of Feed Business Operators
P27	CEFAS sampling and classification
P28	Wales dashboard
P29	Premises surveys
P30	Scottish Primary Production Official Controls System (SPPOCS)
P31	Primary Authority Database
P32	Meat Hygiene database
P33	Food poisoning / infectious disease control data
P34	Census of UK population
P35	List of registered FBOs
P36	LA Individual Management Systems (databases) e.g. FLARE
P37	National feed enforcement priorities
P38	Defra database of enforcement notices (Ilaps)
P39	Prohibited FBOs database
P40	DoH list of port health authorities
P41	Municipal directory
P42	Regional and country profiles

| P42	Local profiles
P43	Atlas of deprivation
P44	Population estimates
P45	APHA list of ports
Secondary Sources	
S1	LA and PHA service delivery plans
S2	FVO mission reports
S3	LA audit reports (England, Scotland, Wales and NI)
S4	Reports on implementation of the National Control Plan
S5	E03 reports and further research - reviews on regulatory research (underway) / Evaluating interventions research project
S6	LAEMS data analysis on LA Performance
S7	FHRS / FHIS evaluation process study (currently underway, phase I end Summer 2012)
S8	Qualitative research exploring regulation cultures and behaviours
S9	Evidence review exploring regulatory cultures and behaviour
S10	FSA 11/11/08 - UK Local Authority Food Law Enforcement: 1 Apr 10- 31 Mar 11 report
S11	FSA 11/03/01 - UK Local Authority Food Law Enforcement: 1 Apr 09-31 Mar 10
S12	Scudamore review
S13	Imported food and feed sampling and surveillance grant reports
S14	Environmental health survey: LA omnibus survey
S15	Evidence review on partnership models
S16	LBRO impacts and outcomes report
S17	Government Data Review - schedule of data collections made by government departments and Arm's Length Bodies (spreadsheet)
S18	REVIEW OF STATUTORY DUTIES: FOOD STANDARDS AGENCY (spreadsheet)
S19	DCLG Single data list
S20	RASFF annual report of incidents
S21	FSA annual report of incidents
S22	Food fraud / food intelligence reports
S23	Primary Authority data
S24	Annual performance reports to EC on the UK NCP
S25	New multi-annual NCP 2012
S26	Emerging risks monthly trend reports
S27	DCLG local government resource review (ongoing until 2013)
S28	FVO pre-audit questionnaires
S29	Capacity of OC labs for chemical analysis (underway)
S30	Report on food law enforcement in Wales (to be published Spring 2012)
S31	Collection of data needs for OFFC review and charging of delivery of OC (underway)
S32	OFT/HSE research reports 'what works'
S33	Collation of information from grant funded work on levels of imported feed into UK through 9 ports
S34	LA departmental business plans
S35	Financial analysis for Jan board retreat
S36	LGA survey reports on LA response to budget cuts
S37	Peer audits of LA/PHAs
S38	Single outcome agreements
S39	Initial mapping sent of JB
S40	Internal LA reports on shared service arrangements
S41	Intelligence reports from RPU food liaison group meetings
S42	Spider diagram on delivery of services by LAs
S43	n/a
S44	CIEH training packs
S45	TSI training packs

S46	HACCP training packs
S47	National enforcement priorities reporting
S48	Enforcement portal enquiries
S49	Job descriptions
S50	LA responses to LA deregulatory measures
S51	LA response to CSR spending review
S52	LA financing paper (mini summit)
S53	Impact of CSR on Local Authority services paper
S54	Authorisation documents for officers
S55	Food champions awards
S56	TRACES
S57	Data on officer training
S58	LGR food sampling surveys
S59	Evidence coming from SFLEC/COSLA/REHIS
S60	Audits of export activity by 3rd countries
S61	Approved premises database
S62	LA's lists of approved premises
S63	CIEH list of prohibited persons
S64	Best value audits
S65	Food poisoning statistics
S66	Meat audit reports
S67	Rogers review
S68	LA/PHA time recording
S69	Sentencing database
S70	TRACES
S71	Clean seas environment monitoring plan (previously the National Monitoring Plan)
S72	EU safeguard members (additional controls)
S73	Interdepartmental business register
S74	Service level agreements between authorities
S75	LA/PHA Memoranda of Understanding/Service Level Agreements
S76	Public statement of charges
S77	GRIP
S78	LGA map of shared services
S79	Combined services review evaluations
S80	LBRO mapping the LA regulatory services landscape report
S81	LBRO regulatory outcomes report Nov 2011
S82	LA/PHA customer satisfaction surveys
S83	LBRO LA regulatory services budgets 2010-11 report
S84	Establishing the case for change report
S85	FSA letters to Local Authorities
S86	An extended review of the FSA's initiatives to improve imported food control activity (with particular reference to sampling) and recommendations for further work
S87	Kings fund research into enforcement
S88	Information on FSA run training courses
S89	CIEH information on continuing professional development
S90	Food law code of practice

APPENDIX H – ON-LINE SURVEY

RDOC:- Survey for an overview of delivery in LAs and PHAs (V1-0)

Local Authority Selection

1. Where is your Authority?*
    ○ England
    ○ Wales
    ○ Scotland
    ○ Northern Ireland

2. Please select the type of Authority -*
    ○ Unitary
    ○ County
    ○ District
    ○ Borough
    ○ City
    ○ Port Health Authority

[Next]   [Save]   [Cancel]

RDOC:- Survey for an overview of delivery in LAs and PHAs (V1-0)

3. Please select which authority you are responding on behalf of*
   To scroll throught the local authority names keep pressing the first letter of the LA you are looking for

   --Please Select--

4. In some cases, the FSA may wish to discuss the results of this survey with authorities to better understand the data supplied. Are you happy for the FSA to contact you at a later date, if necessary?*
   ○ Yes
   ○ No

5. If you are part of a group of authorities which operate a shared service for food enforcement and another member of your group is responding on behalf of the group, which authority is responding?

   --None--

6. If you are part of a group of authorities which operate a shared service for food enforcement and you are responding on behalf of the group, please list the authorities on behalf of which you are responding.
   Enter the names for up to 6 Authorities - you do not need to enter your own authority name here.

	Authority Name
Authority 1	
Authority 2	
Authority 3	
Authority 4	
Authority 5	
Authority 6	

7. Please select whether you are responding on behalf of Food Hygiene, Food Standards, both or port health*
   ○ Food Hygiene
   ○ Food Standards
   ○ Both Food Hygiene and Food Standards

8. **List of Grades**
   Some later questions will ask about the grades in your authority (FTEs, for example). We appreciate that grade titles and the activities that they involve vary from authority to authority and would therefore like you to list all of the grades that you use. Later questions will ask for definitions - at this stage we only need the names of the grades.

	Grade name
1	
2	
3	
4	
5	
6	
7	
8	
9	
10	

   Back   Next   Save   Cancel

RDOC:- Survey for an overview of delivery in LAs and PHAs (V1-0)

9. Please indicate which of these is the food lead for **Food Hygiene** as defined in the COP*

--Please Select-- ▼

Back   Next   Save   Cancel

RDOC:- Survey for an overview of delivery in LAs and PHAs (V1-0)

10. Please indicate which of these is the food lead for **Food Standards** as defined in the COP*

--Please Select--

Back   Next   Save   Cancel

RDOC:- Survey for an overview of delivery in LAs and PHAs (V1-0)

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11. Does your authority act as a Primary Authority?*
- ○ Yes
- ○ No

12. Does your authority act as a Home Authority?*
- ○ Yes
- ○ No

[Back] [Next] [Save] [Cancel]

RDOC:- Survey for an overview of delivery in LAs and PHAs (V1-0)

Organisation

Please tell us a little about the organisational structure of your authority. We would like to know for both Food Hygiene and Food Standards (if you are responding for both) the portfolio/committee of members, the directorate (or equivalent) and any intermediate group that has responsibility for each. For example, Food Hygiene might come under the Environmental Health group, which is part of the Regulatory Control directorate which reports to the Public Protection committee.

Food Hygiene

13. If you would like to upload an organisation chart, please use the boxes below to attach it.

 Select file to upload:
 (click "Browse" button below to locate file)

 File size restricted to: 500 KB
 File type restricted to: No file type restrictions.

 [Browse…] No file selected.

 File Name: (limit 255 characters)
 [_____]
 File Description: (limit 255 characters)
 [_____]

 [Upload]

14. Please tell us which Directorate (or equivalent) Food Hygiene service comes under in your authority*
 [_____]

15. Please list the groups which are part of this Directorate, including your own group.

	FH Group Name
1	[_____]
2	[_____]
3	[_____]
4	[_____]
5	[_____]
6	[_____]

[Back] [Next] [Save] [Cancel]

RDOC:- Survey for an overview of delivery in LAs and PHAs (V1-0)

Organisation - Food Hygiene (cont)

16. Please tell us which Group (or equivalent) Food Hygiene service comes under in your authority

    --None-- ▾

17. Please list the other services which are part of this Group

	Service
1	
2	
3	
4	
5	
6	

Back   Next   Save   Cancel

RDOC:- Survey for an overview of delivery in LAs and PHAs (V1-0)

Organisation

Please tell us a little about the organisational structure of your authority. We would like to know for both Food Hygiene and Food Standards (if you are responding for both) the portfolio/committee of members, the directorate (or equivalent) and any intermediate group that has responsibility for each. For example, Food Hygiene might come under the Environmental Health group, which is part of the Regulatory Control directorate which reports to the Public Protection committee.

Food Standards

18. If you would like to upload an organisation chart, please use the boxes below to attach it.
    Select file to upload:
    (click "Browse" button below to locate file)

    File size restricted to: 500 KB
    File type restricted to: No file type restrictions.

    [Browse...] No file selected.

    File Name: (limit 255 characters)
    [_____]
    File Description: (limit 255 characters)
    [_____]

    [Upload]

19. Please tell us which Directorate (or equivalent) Food Standards service comes under in your authority*
    [_____]

20. Please list the groups which are part of this Directorate, including your own group.

	Group Name
1	[_____]
2	[_____]
3	[_____]
4	[_____]
5	[_____]
6	[_____]

[Back] [Next] [Save] [Cancel]

RDOC:- Survey for an overview of delivery in LAs and PHAs (V1-0)

Organisation - Food Standards (cont)

21. Please tell us which Group (or equivalent) Food Standards service comes under in your authority
   --None-- ▼

22. Please list the other services which are part of this Group

	Service
1	
2	
3	
4	
5	
6	

Back   Next   Save   Cancel

Responsibilities - Food Hygiene

Time Saving Tip

You can use the up and down buttons on your keyboard to select an option from the drop down menu, and use the tab button to move between the drop down boxes quickly'

23. We would like to know about who has particular responsibilities for Food Hygiene in your authority.

Please enter the "title of position" for member/staff into column (1) in each row e.g. Commercial Regulation Team, Environmental Health Manager etc. For columns 2 - 7, please enter Yes, No or Not Applicable.

	Designated Title of Position	Ratifies Service Plan	Ratifies Enforcement Policy	Plans Budget	Sets Budget	Controls Budget	Operational Control
Cabinet/Mayor		--Please Select-- ∨	--Please Select-- ∨	--Please Select-- ∨	--Please Select-- ∨	--Please Select-- ∨	--Please Select-- ∨
Portfolio		--Please Select-- ∨	--Please Select-- ∨	--Please Select-- ∨	--Please Select-- ∨	--Please Select-- ∨	--Please Select-- ∨
Other (please specify)		--Please Select-- ∨	--Please Select-- ∨	--Please Select-- ∨	--Please Select-- ∨	--Please Select-- ∨	--Please Select-- ∨
Director		--Please Select-- ∨	--Please Select-- ∨	--Please Select-- ∨	--Please Select-- ∨	--Please Select-- ∨	--Please Select-- ∨
Head of Service/Chief Officer		--Please Select-- ∨	--Please Select-- ∨	--Please Select-- ∨	--Please Select-- ∨	--Please Select-- ∨	--Please Select-- ∨
Senior Officer		--Please Select-- ∨	--Please Select-- ∨	--Please Select-- ∨	--Please Select-- ∨	--Please Select-- ∨	--Please Select-- ∨
Manager		--Please Select-- ∨	--Please Select-- ∨	--Please Select-- ∨	--Please Select-- ∨	--Please Select-- ∨	--Please Select-- ∨
Team leader		--Please Select-- ∨	--Please Select-- ∨	--Please Select-- ∨	--Please Select-- ∨	--Please Select-- ∨	--Please Select-- ∨

[Back]　[Next]　[Save]　[Cancel]

RDOC:- Survey for an overview of delivery in LAs and PHAs (V1-0)

Responsibilities - Food Standards

24. We would like to know about who has particular responsibilities for Food Standards in your authority.
Please enter the "title of position" for member/staff into column (1) in each row e.g. Commercial Regulation Team, Environmental Health Manager etc. For columns 2 - 7, please enter Yes, No or Not Applicable.

	Designated Title of Position	Controls Budget	Sets Budget	Plans Budget	Ratifies Enforcement Policy	Ratifies Service Plan	Operational Control
Cabinet/Mayor		–Please Select– ▼	–Please Select– ▼	–Please Select– ▼	–Please Select– ▼	–Please Select– ▼	–Please Select– ▼
Portfolio		–Please Select– ▼	–Please Select– ▼	–Please Select– ▼	–Please Select– ▼	–Please Select– ▼	–Please Select– ▼
Other (please specify)		–Please Select– ▼	–Please Select– ▼	–Please Select– ▼	–Please Select– ▼	–Please Select– ▼	–Please Select– ▼
Director		–Please Select– ▼	–Please Select– ▼	–Please Select– ▼	–Please Select– ▼	–Please Select– ▼	–Please Select– ▼
Head of Service/Chief Officer		–Please Select– ▼	–Please Select– ▼	–Please Select– ▼	–Please Select– ▼	–Please Select– ▼	–Please Select– ▼
Senior Officer		–Please Select– ▼	–Please Select– ▼	–Please Select– ▼	–Please Select– ▼	–Please Select– ▼	–Please Select– ▼
Manager		–Please Select– ▼	–Please Select– ▼	–Please Select– ▼	–Please Select– ▼	–Please Select– ▼	–Please Select– ▼
Team leader		–Please Select– ▼	–Please Select– ▼	–Please Select– ▼	–Please Select– ▼	–Please Select– ▼	–Please Select– ▼

[Back] [Next] [Save] [Cancel]

RDOC:- Survey for an overview of delivery in LAs and PHAs (V1-0)

Priority of Official Controls

26. Where does the delivery of Official Controls sit within your authority's order of priorities?

☐ Is listed in the Authority's Corporate Plan
☐ Is one of the authority's Strategic Objectives
☐ Has not been considered by the Authority
☐ Is not a priority for the Authority
☐ Conflicts with the Authority's priority to support economic development
☐ Other, please specify

[   ]

[Back]   [Next]   [Save]   [Cancel]

Staffing - Food Hygiene

28. First please tell us a little more about the grades you have identified earlier. We want to understand what qualifications and experience someone of each grade would have (in case different authorities use the same name for what are effectively different levels of skill or responsibility).

Please use the following key for the Qualifications

1 Certificate of Registration of the Environmental Health Registration Board (EHRB)
2 Diploma in Environmental Health (or its antecedents)
3 Higher or Ordinary Certificate in Food Premises Inspection
4 The EHRB or REHIS Diploma in Environmental Health (or its antecedents)
5 Diploma in Consumer Affairs (DCA) providing it includes the Food & Agriculture Paper of part 11 (or its antecedents)
6 DCA Certificate of Competence in Food and Agriculture issued by TSI (or its antecedents)
7 Food Certificate in Consumer Affairs and Trading Standards
8 Certificate of Competence in Food Standards
9 BCMVS
10 Other
11 Not Applicable

Please use the following for Additional Skills/Competencies

1 Regulatory (includes PACE, Core skills, Legislation)
2 Food Manufacture and Processing (Includes Dairy, Meat products, Canning, Fish, Vacuum packing)
3 Food Standards
4 Nutrition and Health
5 Safety and Hygiene (Includes HACCP, Food enforcement powers, Hazards, Allergens, Food Borne infections, Imported Food, Auditing & inspection)

Minimum Required Qualification	Typical Experience	Additional Skill/Competence 1	Additional Skill/Competence 2	Additional Skill/Competence 3	Additional Skill/Competence 4	Additional Skill/Competence 5
--Please Select--	--Please Select--	--Please Select--	--Please Select--	--Please Select--	--Please Select--	--Please Select--
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--Please Select--	--Please Select--	--Please Select--	--Please Select--	--Please Select--	--Please Select--	--Please Select--

29. Can you now tell us the approximate pay ranges for each grade you have identified – again to help us understand the definitions of the grades.
(Enter number only - please do not include commas, £ or any other letter or symbol)

Starting Pay Scale (£)	Ending Pay Scale (£)

30. Now we would like to understand about how you define the grades of staff within your Food Hygiene team. To do this we ask you to select from a list of 6 types of activity, telling us whether staff in each grade typically get involved in this.

Team/departmental tasks (e.g. drafting and seeking approval for the authority's food service plan/enforcement policy. Appointment of authorised officers etc.)	Administration/liaison tasks (e.g. collaboration with other enforcing authorities, partnership working, communication with FSA/HPA/OGD), acting as a home/primary authority.	Inspection/auditing tasks (e.g. inspection/auditing establishments, educating, training, coaching/mentoring, enquiry handling, risk rating premises).	Informing the FBO of the outcome.	Service of notices/legal action.	Product specific establishment approval.	Food complaints.	Database management.	Data analysis.
--Please Select--	--Please Select--	--Please Select--	--Please Select--	--Please Select--	--Please Select--	--Please Select--	--Please Select--	--Please Select--
--Please Select--	--Please Select--	--Please Select--	--Please Select--	--Please Select--	--Please Select--	--Please Select--	--Please Select--	--Please Select--
--Please Select--	--Please Select--	--Please Select--	--Please Select--	--Please Select--	--Please Select--	--Please Select--	--Please Select--	--Please Select--
--Please Select--	--Please Select--	--Please Select--	--Please Select--	--Please Select--	--Please Select--	--Please Select--	--Please Select--	--Please Select--
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--Please Select--	--Please Select--	--Please Select--	--Please Select--	--Please Select--	--Please Select--	--Please Select--	--Please Select--	--Please Select--

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RDOC:- Survey for an overview of delivery in LAs and PHAs (V1-0)

31. What joint responsibilities do staff performing Food Hygiene work have? Please enter Yes, No or Not Applicable

	Intelligence Gathering/Hazard Spotting	Inspections/Investigations	All Aspects of Work
Food Standards	--Please Select--	--Please Select--	--Please Select--
Other Trading Standards	--Please Select--	--Please Select--	--Please Select--
Health and Safety	--Please Select--	--Please Select--	--Please Select--
Noise Control	--Please Select--	--Please Select--	--Please Select--
Pollution Control	--Please Select--	--Please Select--	--Please Select--
Infectious Diseases	--Please Select--	--Please Select--	--Please Select--
Drinking Water	--Please Select--	--Please Select--	--Please Select--
Health and Well Being (including helathier eating)	--Please Select--	--Please Select--	--Please Select--
Licensing	--Please Select--	--Please Select--	--Please Select--
Housing	--Please Select--	--Please Select--	--Please Select--
Economic growth	--Please Select--	--Please Select--	--Please Select--
Port Health related work	--Please Select--	--Please Select--	--Please Select--
Other	--Please Select--	--Please Select--	--Please Select--

32. If "Other", please specify -

33. Has the Authority changed its scheme of delegation and officer authorisation to allow less **experienced** officers to undertake a wider range of duties with greater responsibility?
○ Yes ○ No

34. If yes, please add any relevant comments/description about this change.

35. Has the Authority changed its scheme of delegation and officer authorisation to allow less **qualified** technical officers to undertake a wider range of duties with greater responsibility?
○ Yes ○ No

36. If yes, please add any relevant comments/description about this change.

37. Does the Authority plan (or is it considering a plan) to change its scheme of delegation and officer authorisation?
○ Yes ○ No

38. If yes, please add any relevant comments/description about this change.

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Survey For Annex H - Microsoft Word

RDOC:- Survey for an overview of delivery in LAs and PHAs (V1-0)

Staffing - Food Hygiene

39. For each grade, within Food Hygiene please tell us the in-post and vacancy FTE at present, the number of interim staff and the number of people working in the area.
(Enter number only - please do not enter letters or symbols.)

	FTE	FTE Vacanies	Number of interim contract staff	Total Number of People Working in Area

40. If you have dedicated Administrative Support for Food Hygiene (excluding any authority shared staff such as IT or finance staff), please supply FTE information at present, the FTE vacancies, number of interim contract staff and the total number of people working in the area.
(Enter number only - please do not enter letters or symbols.)

	FTE	FTE Vacanies	Number of interim contract staff	Total Number of People Working in Area
Dedicated Food Hygiene Admin Support				

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Staffing - Food Standards

41. First please tell us a little more about the grades you have identified earlier. We want to understand what qualifications and experience someone of each grade would have (in case different authorities use the same name for what are effectively different levels of skill or responsibility).

Please use the following key for the Qualifications

1 Diploma in Trading Standards (or its antecedents)
2 Certificate of Registration of EHRB, The EHRB or REHIS Diploma in Environmental Health (or its antecedents)
3 Diploma in Consumer Affairs (DCA) providing it includes the Food & Agriculture Paper of part 11 (or its antecedents)
4 DCA Certificate of Competence in Food and Agriculture issued by TSI (or its antecedents)
5 Food Certificate in Consumer Affairs and Trading Standards
6 Certificate of Competence in Food Standards
7 Higher Certificate in Food Premises Inspection
8 Higher Certificate in Food Standards Inspection
9 Other
10 Not Applicable

Please use the following for Additional Skills/Competencies

1 Regulatory (includes PACE, Core skills, Legislation)
2 Food Manufacture and Processing (Includes Dairy, Meat products, Canning, Fish, Vacuum packing)
3 Food Standards
4 Nutrition and Health
5 Safety and Hygiene (Includes HACCP, Food enforcement powers, Hazards, Allergens, Food Borne infections, Imported Food, Auditing & inspection)

	Minimum Required Qualification	Typical Experience	Additional Skill/Competence 1	Additional Skill/Competence 2	Additional Skill/Competence 3	Additional Skill/Competence 4	Additional Skill/Competence 5
	--Please Select--	--Please Select--	--Please Select--	--Please Select--	--Please Select--	--Please Select--	--Please Select--
	--Please Select--	--Please Select--	--Please Select--	--Please Select--	--Please Select--	--Please Select--	--Please Select--
	--Please Select--	--Please Select--	--Please Select--	--Please Select--	--Please Select--	--Please Select--	--Please Select--
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	--Please Select--	--Please Select--	--Please Select--	--Please Select--	--Please Select--	--Please Select--	--Please Select--
	--Please Select--	--Please Select--	--Please Select--	--Please Select--	--Please Select--	--Please Select--	--Please Select--
	--Please Select--	--Please Select--	--Please Select--	--Please Select--	--Please Select--	--Please Select--	--Please Select--
	--Please Select--	--Please Select--	--Please Select--	--Please Select--	--Please Select--	--Please Select--	--Please Select--

42. Can you now tell us the approximate pay ranges for each grade you have identified – again to help us understand the definitions of the grades.
(Enter number only - please do not include commas, £ or any other letter or symbol)

Starting Pay Scale (£)	Ending Pay Scale (£)

43. Now we would like to understand about how you define the grades of staff within your Food Standards team. To do this we ask you to select from a list of 6 types of activity, telling us whether staff in each grade typically get involved in this.

Team/departmental tasks (e.g. drafting and seeking approval for the authority's food service plan/enforcement policy. Appointment of authorised officers etc.)	Administration/liaison tasks (e.g. collaboration with other enforcing authorities, partnership working, communication with FSA/HPA/OGD), acting as a home/primary authority.	Inspection/auditing tasks (e.g. inspection/auditing establishments, educating/training /coaching /mentoring /enquiry handling, risk rating premises).	Informing the FBO of the outcome.	Service of notices/legal action.	Product specific establishment approval.	Food complaints.	Database management.	Data analysis.
--Please Select--	--Please Select--	--Please Select--	--Please Select--	--Please Select--	--Please Select--	--Please Select--	--Please Select--	--Please Select--
--Please Select--	--Please Select--	--Please Select--	--Please Select--	--Please Select--	--Please Select--	--Please Select--	--Please Select--	--Please Select--
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31 July 2013

RDOC:- Survey for an overview of delivery in LAs and PHAs (V1-0)

44. What joint responsibilities do staff performing Food Standards work have? We want to know this to allow us to build a picture of how food enforcement services are combined with other regulatory services.
Please enter Yes, No or Not Applicable

	Intelligence Gathering/Hazard Spotting	Inspections/Investigations	All Aspects of Work
Animal health	--Please Select--	--Please Select--	--Please Select--
Animal feed	--Please Select--	--Please Select--	--Please Select--
Health and Safety	--Please Select--	--Please Select--	--Please Select--
Consumer advice/support /education	--Please Select--	--Please Select--	--Please Select--
Port health related work	--Please Select--	--Please Select--	--Please Select--
Drinking Water	--Please Select--	--Please Select--	--Please Select--
Other Trading Standards	--Please Select--	--Please Select--	--Please Select--
Licensing	--Please Select--	--Please Select--	--Please Select--
Food Hygiene	--Please Select--	--Please Select--	--Please Select--
Health Promotion	--Please Select--	--Please Select--	--Please Select--
Infectious diseases	--Please Select--	--Please Select--	--Please Select--
Housing	--Please Select--	--Please Select--	--Please Select--
Economic growth	--Please Select--	--Please Select--	--Please Select--
Other	--Please Select--	--Please Select--	--Please Select--

45. If "Other", please specify -

46. Has the Authority changed its scheme of delegation and officer authorisation to allow less **experienced** officers to undertake a wider range of duties with greater responsibility?
   ○ Yes ○ No

47. If yes, please add any relevant comments/description about this change.

48. Has the Authority changed its scheme of delegation and officer authorisation to allow less **qualified** technical officers to undertake a wider range of duties with greater responsibility?
   ○ Yes ○ No

49. If yes, please add any relevant comments/description about this change.

50. Does the Authority plan (or is it considering a plan) to change its scheme of delegation and officer authorisation?
   --None--

51. If yes, please add any relevant comments/description about this change.

[Back] [Next] [Save] [Cancel]

RDOC:- Survey for an overview of delivery in LAs and PHAs (V1-0)

Staffing - Food Standards

52. For each grade, within Food Standards please tell us the in-post and vacancy FTE at present, the number of interim staff and the number of people working in the area.
(Enter number only - please do not enter letters or symbols.)

	FTE	FTE Vacanies	Number of interim contract staff	Total Number of People Working in Area

53. If you have dedicated Administrative Support for Food Standards (excluding any authority shared staff such as IT or finance staff), please supply FTE information at present, the FTE vacancies, number of interim contract staff and the total number of people working in the area.
(Enter number only - please do not enter letters or symbols.)

	Total Number of People Working in Area	Number of interim contract staff	FTE Vacanies	FTE
Dedicated Food Standards Admin Support				

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RDOC:- Survey for an overview of delivery in LAs and PHAs (V1-0)

Staffing (continued)

54. Next please enter (if known) the **number of posts** at 31st March each year by function (where posts equals the number in post + number of vacancies). Please also give an estimate for 31/03/2013 (if possible). We are specifically interested in the number of posts - this is likely to be different from the FTE.
(Enter number only - please do not enter letters or symbols.)

	Dedicated Admin - Food Hygiene	Dedicated Admin - Food Standards	Food Standards - Excluding Admin	Food Hygiene - Excluding Admin
31-March-2013 (est)				
31-March-2012				
31-March-2011				
31-March-2010				

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Staff Development and Training

We now consider aspects of development and training.

55. Do you have a formal process for authorising officers to undertake Official Control Duties?

    —None— ▾

56. If yes, which of the following does that process involve?

    ☐ An assessment of competence before authorisation.
    ☐ A graduated authorisation dependant on the officer's level of competence.
    ☐ Removal of authorisation if competence is not maintained.
    ☐ Delegation to officers to authorise officers.
    ☐ Delegation to an Executive Member.
    ☐ Authorisation by Council.
    ☐ Other, please specify

57. Does you authority support officers in undertaking CPD activities?

    —None— ▾

58. If no, which of the following are the reasons for this?

    ☐ The authority does not have the resources.
    ☐ The authority supports qualification training only.
    ☐ CPD is not seen as the responsibility of the authority.
    ☐ Other, please specify

59. For the following years, did your authority provide or allow staff to attend training to develop and extend professional competencies or to develop managerial/leadership skills? This includes any training provided by the FSA, CIEH, TSI or others. This question will help us understand how training is being affected by any changes in authorities.

	Training to extend competencies	Training for managerial/leadership skills	Training to maintain competencies
2009/10	—Please Select— ▾	—Please Select— ▾	—Please Select— ▾
2010/11	—Please Select— ▾	—Please Select— ▾	—Please Select— ▾
2011/12	—Please Select— ▾	—Please Select— ▾	—Please Select— ▾
2012/13	—Please Select— ▾	—Please Select— ▾	—Please Select— ▾

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RDOC:- Survey for an overview of delivery in LAs and PHAs (V1-0)

Training Places - Food Hygiene

60. Please tell us about the number of Food Hygiene Training Places offered in support of a relevant professional qualification in the following years. For example, if one training place is given per year to a student that carries out both food hygiene and standards training, please enter ½.
(Enter number only - please do not enter letters or symbols.)

	Fully Funded	Partially Funded	Unfunded
2009/10			
2010/11			
2011/12			
2012/13			

61. Who were the places principally funded by?

	Principally Funded By
2009/10	--Please Select--
2010/11	--Please Select--
2011/12	--Please Select--
2012/13	--Please Select--

[Back] [Next] [Save] [Cancel]

RDOC:- Survey for an overview of delivery in LAs and PHAs (V1-0)

Training Places - Food Standards

62. Please tell us about the number of Food Standards Training Places offered in support of a relevant professional qualification in the following years. For example, if one training place is given per year to a student that carries out both food hygiene and standards training, please enter ½.
(Enter number only - please do not enter letters or symbols.)

	Unfunded	Partially Funded	Fully Funded
2009/10			
2010/11			
2011/12			
2012/13			

63. Who were the places principally funded by?

	Principally Funded By
2009/10	--Please Select--
2010/11	--Please Select--
2011/12	--Please Select--
2012/13	--Please Select--

[Back] [Next] [Save] [Cancel]

RDOC:- Survey for an overview of delivery in LAs and PHAs (V1-0)

Budgets and Budget Planning

First of all a few quick questions about where the budget for Food Hygiene and Standards are set and controlled. For large teams there may well be a formal budget for both Food Hygiene and Food Standards, with the heads of these services controlling the expenditure against them. However, it is also possible that for smaller teams the budget is formally set and controlled at a higher level in the organisation - Environmental Health, Trading Standards or Regulatory Services for example. The following questions should be answered from the perspective of the level at which the budget(s) are formally set and managed.

64. Please tell us the level at which the budgets are formally set and controlled for Food Hygiene. This may be Food Hygiene itself or at a higher level - Environmental Health, for example.

☐ Food Hygiene
☐ Other, please specify

[   ]

65. Please tell us the level at which the budgets are formally set and controlled for Food Standards. This may be Food Standards itself or at a higher level - Regulatory Services, for example.

☐ Food Standards
☐ Other, please specify

[   ]

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RDOC:- Survey for an overview of delivery in LAs and PHAs (V1-0)

Budgets and Budget Planning - Food Hygiene

In this section, the budget referred to is that for .

66. Please tell us the budget for for the past 3 years and if expenditure differed significantly from this.
(Enter number only - please do not enter letters or symbols.)

	Budget (£k)	Expenditure v Budget
2010/11		--Please Select--
2011/12		--Please Select--
2012/13		--Please Select--

67. For the budget for 2012/13 for , please tell us if the following elements are included and, where possible, what their values are.
(Enter number only - please do not enter letters or symbols.)

	Included in budget?	Value 2012/13 (£k)
Other	--Please Select--	
Training	--Please Select--	
Accommodation	--Please Select--	
Supplies	--Please Select--	
Travel & Subsistence	--Please Select--	
Democratic costs	--Please Select--	
Lab Services	--Please Select--	
Contractors	--Please Select--	
Staffing	--Please Select--	
Sampling Services	--Please Select--	
IT	--Please Select--	
Legal Services	--Please Select--	
HR	--Please Select--	
Admin Support	--Please Select--	

68. If you have included budget for "Other", please tell us what is included in this category.

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RDOC:- Survey for an overview of delivery in LAs and PHAs (V1-0)

Budgets and Budget Planning - Food Standards

In this section the budget referred to is that for .

69. Please tell us the budget for for the past 3 years and if expenditure differed significantly from this.
(Enter number only - please do not enter letters or symbols.)

	Budget (£k)	Expenditure v Budget
2010/11		--Please Select--
2011/12		--Please Select--
2012/13		--Please Select--

70. For the budget for 2012/13 for , please tell us if the following elements are included and, where possible, what their values are.
(Enter number only - please do not enter letters or symbols.)

	Included in budget?	Value 2012/13 (£k)
Lab Services	--Please Select--	
Contractors	--Please Select--	
Staffing	--Please Select--	
Sampling Services	--Please Select--	
IT	--Please Select--	
Legal Services	--Please Select--	
HR	--Please Select--	
Admin Support	--Please Select--	
Democratic costs	--Please Select--	
Travel & Subsistence	--Please Select--	
Supplies	--Please Select--	
Accommodation	--Please Select--	
Training	--Please Select--	
Other	--Please Select--	

71. If you have included budget for "Other", please tell us what is included in this category.

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RDOC:- Survey for an overview of delivery in LAs and PHAs (V1-0)

Strategic Planning, Service Plans and Budget Setting

In this section we seek your views on the way that planning and budget setting are handled within your authority in general (but from the perspective of Food safety). We appreciate that these represent opinions, but we are interested to hear these. Not all statements are applicable to all authorities - please mark as "Not Applicable" (right hand column) any statement that does not apply to your authority.

72. How strongly do you agree or disagree with the following statements about **Strategic Planning** in your authority?

	Strongly Agree	Moderately Agree	Moderately Disagree	Strongly Disagree	Not Applicable
Food Standards and/or Hygiene are a high strategic priority with the authority.	○	○	○	○	○
Food lead is involved in the setting of strategic priorities for the authority.	○	○	○	○	○

73. How strongly do you agree or disagree with the following statements about **Food Service Plans** in your authority?

	Strongly Agree	Moderately Agree	Moderately Disagree	Strongly Disagree	Not Applicable
Food Service plans take into account FSA strategic priorities.	○	○	○	○	○
Service Plans are driven by the need to protect consumers in relation to risk from food.	○	○	○	○	○
Food Service plans take into account previous year's performance.	○	○	○	○	○
Food Service plans are reviewed by elected members.	○	○	○	○	○
Food Service plans take levels of business compliance into account.	○	○	○	○	○
Service Plans are driven by the need to implement the provisions of the Food Law Code of Practice.	○	○	○	○	○
Service Plans are driven by the need to meet the service planning guidance in the framework agreement.	○	○	○	○	○

74. How strongly do you agree or disagree with the following statements about **Financial Planning and Budget Setting** in your authority?

	Strongly Agree	Moderately Agree	Moderately Disagree	Strongly Disagree	Not Applicable
The food services budget takes into account forecasts of the changes in demand for the services e.g. business growth and population growth.	○	○	○	○	○
The food services budget is set to ensure that all obligations under the Food Law Code of Practice are met.	○	○	○	○	○
Food Hygiene budget is set by someone with food hygiene expertise.	○	○	○	○	○
Food Standards budget is set by someone with food standards expertise.	○	○	○	○	○
The manager responsible for Food Services is able to influence the budget level by negotiating with the budget holder.	○	○	○	○	○
Changes in the Food Services budget are in proportions to the overall changes to LA budgets.	○	○	○	○	○
Once set the food services budget does not change during the financial year.	○	○	○	○	○
Expenditure in my area closely reflects the budget allocated at the start of the year.	○	○	○	○	○
The budget setting process is bottom-up with what is required dictating financial budget.	○	○	○	○	○
The budget setting process is top-down with the service plan limited by the available budget.	○	○	○	○	○
In-year budget savings are often required.	○	○	○	○	○
The budget has contingency to deal with increases in incidents and/or prosecutions.	○	○	○	○	○

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Sources of External Funding for Food Enforcement Services

Here we are interested to know about any external - not from from your authority - sources of funding that are typically available to support Food Enforcement work.

75. There are a number of potential sources of external funding or cost recovery from chargeable services that authorities might receive. We are interested to know if

1. you receive a significant amount from these (where a significant amount is more than £10,000 or 1% of your core authority budget - whichever is lower)
2. the receipt of this funding is assumed in your budget allocation
3. whether the current level of this funding is more/same/less than received in 2009/2010
4. whether you expect the level of funding for 2013/14 and beyond to be more/same/less
5. whether the funding received from these sources is ring fenced for use by food enforcement services.

	Significant amount typically received	Assumed in Budget Setting	Current value compared to 2009/10	Expected Future Value compared to current	Funding is ring fenced for Food Enforcement Activities
FSA Grants	--Please Select--	--Please Select--	--Please Select--	--Please Select--	--Please Select--
Other (non-FSA) Government Grants	--Please Select--	--Please Select--	--Please Select--	--Please Select--	--Please Select--
Primary Authority Relationships	--Please Select--	--Please Select--	--Please Select--	--Please Select--	--Please Select--
Export Certification	--Please Select--	--Please Select--	--Please Select--	--Please Select--	--Please Select--
Organic Certification	--Please Select--	--Please Select--	--Please Select--	--Please Select--	--Please Select--
Sanitation Certificates	--Please Select--	--Please Select--	--Please Select--	--Please Select--	--Please Select--
Work for other Authorities	--Please Select--	--Please Select--	--Please Select--	--Please Select--	--Please Select--
Health Certificates	--Please Select--	--Please Select--	--Please Select--	--Please Select--	--Please Select--
Training	--Please Select--	--Please Select--	--Please Select--	--Please Select--	--Please Select--
Private Water Supplies	--Please Select--	--Please Select--	--Please Select--	--Please Select--	--Please Select--
PHA Duties	--Please Select--	--Please Select--	--Please Select--	--Please Select--	--Please Select--
Recoveries via Proceeds of Crime Act	--Please Select--	--Please Select--	--Please Select--	--Please Select--	--Please Select--
Other	--Please Select--	--Please Select--	--Please Select--	--Please Select--	--Please Select--

76. If you have indicated that there are "Other" sources of funding, please tell us what these are.

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Joint Working

77. We are interested in any joint working with other authorities or commercial organisations. This will help us understand the extent to which authorities are sharing responsibilities with other bodies.

In the following questions we would like to know if the possible ways of working with other authorities or third parties are something that you are currently doing. If not, we are also interested to hear if it is something that you plan to do. Equally, we would like to hear if it is something that you do currently do, but plan to stop in the future.

	Food Hygiene	Food Standards	Admin Support	Legal Services	Sampling Services	Laboratory Services	Other Services (eg IT)
Is there joint working with another Authority?	--Please Select--	--Please Select--	--Please Select--	--Please Select--	--Please Select--	--Please Select--	--Please Select--
Are any services outsourced jointly with other authorities?	--Please Select--	--Please Select--	--Please Select--	--Please Select--	--Please Select--	--Please Select--	--Please Select--
Are any services outsourced to another authority?	--Please Select--	--Please Select--	--Please Select--	--Please Select--	--Please Select--	--Please Select--	--Please Select--
Are any services outsourced to a commercial company?	--Please Select--	--Please Select--	--Please Select--	--Please Select--	--Please Select--	--Please Select--	--Please Select--
Are any services informally shared with another authority?	--Please Select--	--Please Select--	--Please Select--	--Please Select--	--Please Select--	--Please Select--	--Please Select--
Are there any arrangements for sharing intelligence within your own LA?	--Please Select--	--Please Select--	--Please Select--	--Please Select--	--Please Select--	--Please Select--	--Please Select--
Are there any arrangements for sharing intelligence with other LAs?	--Please Select--	--Please Select--	--Please Select--	--Please Select--	--Please Select--	--Please Select--	--Please Select--
Are there any arrangements for sharing intelligence with other organisations (e.g. Police, HMRC, HPA or Public Health Wales)?	--Please Select--	--Please Select--	--Please Select--	--Please Select--	--Please Select--	--Please Select--	--Please Select--

Back   Next   Save   Cancel

RDOC:- Survey for an overview of delivery in LAs and PHAs (V1-0)

Service Delivery

Please tell us about the way in which you deliver your food controls.

78. If you would like to upload a service plan, please use the boxes below to attach it.
   Select file to upload:
   (click "Browse" button below to locate file)

   File size restricted to: 750 KB
   File type restricted to: No file type restrictions.

   [Browse...] No file selected.

   File Name: (limit 255 characters)
   [   ]
   File Description: (limit 255 characters)
   [   ]

   [Upload]

79. Does your authority have an Alternative Enforcement Strategy?
   [--None-- ▼]

80. If you do have an Alternative Enforcement Strategy, are the following elements contained within it?
   ☐ Questionnaires
   ☐ Surveys
   ☐ Project Based Inspections
   ☐ Customer Complaint Response
   ☐ Intelligence Gathering Visits
   ☐ Random % subject to inspection
   ☐ Other, please specify
      [   ]

81. Please attach a copy of any documents that formalise your Alternative Enforcement Strategy.
   Select file to upload:
   (click "Browse" button below to locate file)

   File size restricted to: 750 KB
   File type restricted to: No file type restrictions.

   [Browse...] No file selected.

File Name: (limit 255 characters)

File Description: (limit 255 characters)

Upload

79. Does your authority have an Alternative Enforcement Strategy?

--None-- ▼

80. If you do have an Alternative Enforcement Strategy, are the following elements contained within it?

☐ Questionnaires
☐ Surveys
☐ Project Based Inspections
☐ Customer Complaint Response
☐ Intelligence Gathering Visits
☐ Random % subject to inspection
☐ Other, please specify

81. Please attach a copy of any documents that formalise your Alternative Enforcement Strategy.
Select file to upload:
(click "Browse" button below to locate file)

File size restricted to: 750 KB
File type restricted to: No file type restrictions.

Browse... No file selected.

File Name: (limit 255 characters)

File Description: (limit 255 characters)

Upload

82. How many Approved Premises do you have currently? The value must be greater than or equal to 0.

Back   Next   Save   Cancel

Service Delivery - Methods

83. We would now like to know some information about how various activities/services are delivered in your authority.

Where appropriate, please tell us (Yes/No) if the method of delivery is fully compliant with the Food Law Code of Practice.

Please tell us if the service delivery is by permanent staff or fully or partially contracted out (including to another authority).

Please use the text box to add any comments or to reference an attached document (pages and paragraphs please).

	Dealt with as per CoP?	Delivered by	Comments and Textual Descriptions
Inspections - category A (food hygiene)	--Please Select--	--Please Select--	
Inspections - category B (food hygiene)	--Please Select--	--Please Select--	
Inspections - category C (food hygiene)	--Please Select--	--Please Select--	
Inspections - category D (food hygiene)	--Please Select--	--Please Select--	
Inspections - category E (food hygiene)	--Please Select--	--Please Select--	
Inspections - category A (food standards)	--Please Select--	--Please Select--	
Inspections - category B (food standards)	--Please Select--	--Please Select--	
Inspections - category C (food standards)	--Please Select--	--Please Select--	
Intervention profile	--Please Select--	--Please Select--	
Complaints/Intelligence & Policy	--Please Select--	--Please Select--	
Business Advice and Education	--Please Select--	--Please Select--	
Internal Review/Audit	--Please Select--	--Please Select--	
Enforcement and Prosecutions	--Please Select--	--Please Select--	
Primary Authority role	--Please Select--	--Please Select--	
Home Authority role	--Please Select--	--Please Select--	
Legal Services	--Please Select--	--Please Select--	
Laboratory Services	--Please Select--	--Please Select--	
Sampling Services	--Please Select--	--Please Select--	
Approvals	--Please Select--	--Please Select--	
Export Certification	--Please Select--	--Please Select--	
Imports - inland	--Please Select--	--Please Select--	
Imports - ports	--Please Select--	--Please Select--	
Public Health	--Please Select--	--Please Select--	

| Outbreak and Incident Management | --Please Select-- ▾ | --Please Select-- ▾ | |
| Vessels/Offshore (if appropriate) | --Please Select-- ▾ | --Please Select-- ▾ | |

84. What Food Standards Rating Scheme is used within your authority?

○ Authority scheme
○ LACORS scheme
○ COP risk rating schme
○ Other, please specify

[   ]

85. Most volumetric data is available from LAEMS. However, if appropriate to your service, please supply the following volumes (for 2011/12).
(Enter number only - please do not enter letters or symbols.)

	Volume for 2011/12
Approvals - No of approvals received	[ ]
Export Certification - No of Certifications	[ ]
Outbreak and Incident Management - No of incidents handled by authority	[ ]
Vessels/Offshore - No of inspections	[ ]

86. Please tell us how Business Advice and Education is delivered.

[   ]

87. Please tell us about your internal audit methods.

[   ]

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RDOC:- Survey for an overview of delivery in LAs and PHAs (V1-0)

Service Delivery - Out of Hours Service

88. Does you Food **Hygiene** Enforcement Service have an Out of Hours Food Service?

--None-- ▾

89. Does you Food **Standards** Enforcement Service have an Out of Hours Food Service?

--None-- ▾

90. If yes, does it cover responding to food incidents?

--None-- ▾

91. If yes, do you always have EHOs/TSOs with relevant food experience/expertise available to deal with food incidents?

--None-- ▾

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RDOC:- Survey for an overview of delivery in LAs and PHAs (V1-0)

Response To Change

We would like to collect some information about the level and impact of change on food enforcement controls in your authority. This helps us understand if Food enforcement has been affected (and/or whether it will be) and the general context in your authority. First we will consider the past and then move on to consider the present and the future. There are many reasons why there may be pressure for change. Budget cuts is one reason but other forms of reorganisation or changing responsibilities may also require changes to how Official Controls are delivered. We start by asking whether your authority has been impacted by significant budget changes. If it hasn't this section will jump over questions about the timing and size of these changes, to ask about any changes that you have made recently or plan to make.

92. Has your food hygiene/standards budget been subject to significant change (other than for inflation) since 2009/10?

    [--None-- ▾]

    [Back] [Next] [Save] [Cancel]

RDOC:- Survey for an overview of delivery in LAs and PHAs (V1-0)

93. We recognise that the level at which budgets are set/controlled vary across authorities. If the budget for Food Hygiene and/or Food Standards is set and controlled at a higher level in your authority, then please ignore the FH and FS parts of the following tables and complete for the authority and "Level at which budget is set.

First we would like to know about the level of budget changes which have been made over past years.

Changes can be **positive (an increase in budget)** or **negative (a reduction in budget).**

Changes are relative to the previous year.

If budgets are controlled at Food Hygiene and Food Standards levels, please leave row 2 blank and fill in rows 3 and 4. If the Food Safety budget is set and controlled at a higher level in your authority (Environmental Health, for example) then please complete row 2 and leave rows 3 and 4 blank.

	% Change 2009/10	% Change 2010/11	% Change 2011/12	% Change 2012/13	% Change 2013/14
At Authority level					
At level budget is set (if not FH or FS)					
At Food Hygiene level					
At Food Standards level					

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Response To Change - Changes to Date

94. Has your authority (CA), Food Hygiene (FH) or Food Standards (FS) service been subject any of the following changes over the past 3 years (tick all that apply)?

	FH 2009/10	CA 2009/10	FS 2011/12	FS 2009/10	CA 2010/11	FH 2010/11	FS 2010/11	CA 2011/12	FH 2011/12
Restructuring/Reorganisation	☐	☐	☐	☐	☐	☐	☐	☐	☐
Redundancies	☐	☐	☐	☐	☐	☐	☐	☐	☐
Pay Freeze/reduction	☐	☐	☐	☐	☐	☐	☐	☐	☐
Loss of posts	☐	☐	☐	☐	☐	☐	☐	☐	☐
Relocation	☐	☐	☐	☐	☐	☐	☐	☐	☐
Job re-grading	☐	☐	☐	☐	☐	☐	☐	☐	☐
Tighter control on budgets	☐	☐	☐	☐	☐	☐	☐	☐	☐
Limit to Travel Budget	☐	☐	☐	☐	☐	☐	☐	☐	☐
Hot Desking	☐	☐	☐	☐	☐	☐	☐	☐	☐
Mobile Working	☐	☐	☐	☐	☐	☐	☐	☐	☐
Home Working	☐	☐	☐	☐	☐	☐	☐	☐	☐
Cuts to service provided	☐	☐	☐	☐	☐	☐	☐	☐	☐
Re-prioritisation of elements of the service	☐	☐	☐	☐	☐	☐	☐	☐	☐
Sharing of services	☐	☐	☐	☐	☐	☐	☐	☐	☐
Contracting out services	☐	☐	☐	☐	☐	☐	☐	☐	☐
Centralisation of administration	☐	☐	☐	☐	☐	☐	☐	☐	☐
Reduction in Training	☐	☐	☐	☐	☐	☐	☐	☐	☐
Removal of specific budgets	☐	☐	☐	☐	☐	☐	☐	☐	☐
Loss of training posts	☐	☐	☐	☐	☐	☐	☐	☐	☐
Loss of Leave	☐	☐	☐	☐	☐	☐	☐	☐	☐
Loss of allowances (e.g. car allowance)	☐	☐	☐	☐	☐	☐	☐	☐	☐
Other	☐	☐	☐	☐	☐	☐	☐	☐	☐

95. If yes to any change, how has the change afected you food enforcement in relation to;

	Affect on consumer protection	Ability to improve business compliance	Number of inspections	Number of Formal Enforcement actions	Ability to comply with Food Law CoP	Amount and quality of training and development	Staff Numbers	Staff Retention
Impact	--Please Select--	--Please Select--	--Please Select--	--Please Select--	--Please Select--	--Please Select--	--Please Select--	--Please Select--

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96. Do you expect that your authority (CA), Food Hygiene (FH) or Food Standards (FS) service will be subject to any of the following changes this year or next year (tick all that apply)?

	CA 2012/13	FH 2012/13	FS 2012/13	CA 2013/14	FH 2013/14	FS 2013/14
Restructuring/Reorganisation	☐	☐	☐	☐	☐	☐
Redundancies	☐	☐	☐	☐	☐	☐
Pay Freeze/reduction	☐	☐	☐	☐	☐	☐
Loss of posts	☐	☐	☐	☐	☐	☐
Relocation	☐	☐	☐	☐	☐	☐
Job re-grading	☐	☐	☐	☐	☐	☐
Tighter control on budgets	☐	☐	☐	☐	☐	☐
Limit to Travel Budget	☐	☐	☐	☐	☐	☐
Hot Desking	☐	☐	☐	☐	☐	☐
Mobile Working	☐	☐	☐	☐	☐	☐
Home Working	☐	☐	☐	☐	☐	☐
Cuts to service provided	☐	☐	☐	☐	☐	☐
Re-prioritisation of elements of the service	☐	☐	☐	☐	☐	☐
Sharing of services	☐	☐	☐	☐	☐	☐
Contracting out services	☐	☐	☐	☐	☐	☐
Centralisation of administration	☐	☐	☐	☐	☐	☐
Reduction in Training	☐	☐	☐	☐	☐	☐
Removal of specific budgets	☐	☐	☐	☐	☐	☐
Loss of training posts	☐	☐	☐	☐	☐	☐
Loss of Leave	☐	☐	☐	☐	☐	☐
Loss of allowances (e.g. car allowance)	☐	☐	☐	☐	☐	☐
Other	☐	☐	☐	☐	☐	☐

97. Considering the combined impact of changes that are planned, how do you expect the changes to affect your food enforcement in relation to the following aspects?

	Affect on consumer protection	Ability to improve business compliance	Number of Inspections	Number of Formal Enforcement actions	Ability to comply with Food Law Code of Practice	Amount and quality of training and development	Staff Numbers	Staff Retention
Impact	--Please Select--	--Please Select--	--Please Select--	--Please Select--	--Please Select--	--Please Select--	--Please Select--	--Please Select--

98. If you believe that past or future changes will have a significant impact of the delivery of food enforcement, please rank the following areas of impact in terms of where you feel the most significant impact will be in your authority.
Please rank these 1-7 where 1 is greatest impact and 7 is least impact.
Rank the items below, using numeric values starting with 1.

Impact on Number of Inspections	
Impact on Formal Enforcement	
Ability to comply with Food Law CoP	
Impact on outcomes (eg consumer protection, business compliance)	
Impact on the amount and quality of Training and Development	
Impact on Staff Resources	
Impact on Staff Retention	

Back   Done   Save   Cancel

APPENDIX I – SUPPORT CALLS & REQUESTS

Survey Support

The survey went live on Friday 14th September, with e-mails being sent to a list of contacts with login details and information regarding how to access the survey.

Initial survey deadline was Friday 19th October. The deadline was later extended to Friday 2nd November to ensure that all authorities were aware of the survey

Survey Support was delivered via e-mail (via rdocsurvey@hmcm.co.uk) and telephone support to any authority requiring assistance.

During the period 14th September to 2nd November 2012 Hartley McMaster received and responded to 736 e-mails requesting support. A record of the number of phone calls received was not kept but the level of phone calls followed a similar pattern to the number of e-mails received. The 736 e-mails included both e-mails forwarded from the FSA and e-mails received directly from authorities.

The table below show the number of e-mails for each week that the survey was operational.

Week Commencing	No of Survey Support e-mails
10th September	29
17th September	95
24th September	95
1st October	94
8th October	127
15th October	204
22nd October	59
29th October	33

There was a distinct peak in demand for support for the two week period before the initial deadline date of Friday 19th October.

The graph below shows the daily number of support e-mails received.

Number of Survey Support e-mails
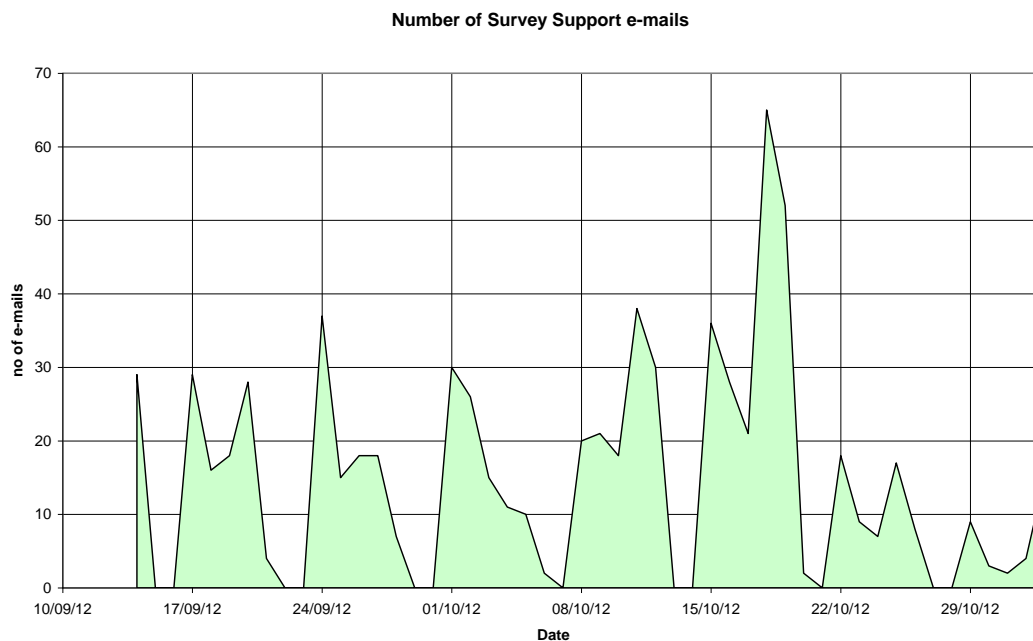
Types of Support request

The support requests received fell into four broad categories:

- Problems with contacts
  - Request for login details
  - Request to change login details to a different person
- User problems
  - Problems logging in for the initial time
  - Request for Survey ID
  - Forgotten password words
  - Request to unlock submitted surveys
  - Multiple accounts with same e-mail address
  - Number format issues
- Software/Hardware problems
  - Time out issues
  - Queries regarding uploading files
  - Navigation queries and issues
  - Printing queries
- Questionnaire clarification problems
  - Question clarification
  - Request for PDF version of questionnaire

The **contact problems** related to the inaccuracies in the contact list used. The email list used to provide the initial contact with the LAs and PHAs proved to be inaccurate and this meant that many requests (usually channelled via FSA) were received for the login details to be sent to a different member of staff at the authority. 42% of the full contact list was changed during the course of the

survey. However, 17% concerned authorities where a different member of staff was responding rather than the original contact being wrong.

This means that the contact list had the wrong contact point for 25% of the authorities. This a much higher figure than would normally be expected for a commercial directory and the reasons for this will be investigated with the suppliers.

The **user problems** were very much those you would expect from an exercise of this sort – problems gaining access to the survey, problems with forgotten passwords, problems with accidental submission of the survey.

All of these were dealt with rapidly and successfully.

The FAQ and Take the Survey pages were updated to highlight these issues and any subsequent emails sent to users also highlighted the issues and the best ways to avoid/deal with them. This seemed to have little impact on the rate of reporting the issues!

The **hardware and software problems** were relatively few and did not appear to cause any reduction in the response rate – but the issues are worth noting.

The SelectSurvey software was updated (at the recommendation of the suppliers) shortly before go-live of the survey. This caused a number of problems as the new version contained two bugs:

- after clicking Save, the survey would not let users navigate back to pages before the point at which they had saved until a new session started; and
- After uploading an attachment the details of the file were displayed but disappeared as soon as the user navigated away from the page – causing users to worry that attachments had gone missing.

Both were nuisances rather than critical problems (and were reported on the FAQ page). The bugs were reported to the software manufacturers who provided a new version – but it was decided not to risk an upgrade during the survey live running and so this was not deployed.

At the start of the survey there were a number of brief failures on the server holding the database which holds the user and response data. These were generally outside normal office hours but 2 failures in normal hours occurred in the first week of the survey, causing a small number of calls/emails with error messages related to this. In all cases no data was lost and the database was restored to operation within 5 minutes. The cause of the problem was isolated (it was unconnected to the survey) and fixed – with no further problems occurring during the survey exercise.

Users in a small number (6) of authorities using Citrix thin client software to access their network reported timeout problems with the survey – essentially the survey crashing because Citrix appeared to cause a significant delay between data being sent from the questionnaire to the database. In 4 of these cases the problems were sufficiently intermittent that the respondents managed to complete the survey, albeit with some interruption to the smooth running. In 2 cases, however, the problems were severe and it was agreed to allow the authorities to send their responses on paper to be entered by the HMcM team on their behalf. This was done.

Very few **question clarification** support calls were received. Those that were received were almost all about either grade definitions or budget apportionment.

The grade definition requests were all to do with the need (or otherwise) to distinguish between grade titles used for Food Hygiene and Food Standards work – and were simple to resolve.

Budget questions revolved round the extent to which estimates of Food Hygiene/Standards budgets were required when the actual budget was set and managed at a higher level (say Environmental Health). The line adopted was to ask for the higher level budget to be entered and, if possible an apportioned component to be supplied.

The very small number of support calls regarding the interpretation of questions was reassuring and reflected the work done in the design and piloting of the survey which helped to ensure that the survey was unambiguous and feasible to respond to.

APPENDIX J - ANALYSIS CHARTS AND TABLES

Official Categorisation	Self Categorisation						
	Borough	City	County	District	Unitary	PHA	Total
County Council			19				19
District Council	45	4		82	1		132
London Borough	11				8		19
Metropolitan Borough Council	12	6	1	3	7		29
NI Unitary Authority	11	4		10			25
Scottish Unitary Authority		1	1		25		27
Unitary Authority	1				37		38
Welsh Unitary Authority		1	2		15		18
NI Groups			1	3			
PHA						6	
Total	80	16	24	98	93	6	318

Table J-001 – Responding Authority Categorisation

Official Authority Type	Number of Respondents			
	Both Food Hygiene and Food Standards	Food Hygiene	Food Standards	Total
County Council			19	19
District Council	1	131		132
London Borough	19			19
Metropolitan Borough Council	23	5	1	29
NI Unitary Authority	23	1	1	25
Scottish Unitary Authority	27			27
Unitary Authority	33	5		38
Welsh Unitary Authority	18			18
NI Groups	4			
PHA	3	3		
Total	151	145	21	317

Table J-002 – Food safety Services By Authority Type

"We would like to know about who has particular responsibilities for Food Hygiene in your authority."

	Percentage of Responding Authorities					
Highest level of input	Ratifies Service Plan	Ratifies Enforcement Policy	Plans Budget	Sets Budget	Controls Budget	Operational Control
Cabinet/Mayor	40%	55%	19%	48%	10%	1%
Portfolio	32%	18%	8%	5%	2%	2%
Other (please specify)	13%	16%	8%	20%	5%	0%
Elected level input	*85%*	*89%*	*35%*	*73%*	*17%*	*3%*
No input at Elected level	*15%*	*11%*	*65%*	*27%*	*83%*	*97%*
Director	31%	29%	56%	38%	40%	14%
Head of Service/Chief Officer	20%	14%	33%	16%	40%	46%
Senior Officer	2%	2%	4%	0%	7%	12%
Manager	1%	1%	4%	1%	10%	24%
Team leader	0%	0%	1%	1%	2%	4%
Officer level input	*54%*	*46%*	*98%*	*56%*	*99%*	*100%*
No input at Officer level	*46%*	*54%*	*2%*	*44%*	*1%*	*0%*

Table J-003 – Governance Summary – Food Hygiene

"We would like to know about who has particular responsibilities for Food Hygiene in your authority."

FOOD HYGIENE		Number of Responses					Percentage of Responses			
Responsibility	Person	Yes	No	Not Applicable	Don't Know	Total	Yes	No	Not Applicable	Don't Know
Ratifies Service Plan	Cabinet/Mayor	112	94	23	1	230	49%	41%	10%	0%
	Portfolio	142	62	24	1	229	62%	27%	10%	0%
	Other (please specify)	62	48	35		145	43%	33%	24%	0%
	Director	89	144	9		242	37%	60%	4%	0%
	Head of Service/Chief Officer	117	128	8	2	255	46%	50%	3%	1%
	Senior Officer	30	90	43		163	18%	55%	26%	0%
	Manager	40	147	24		211	19%	70%	11%	0%
	Team leader	20	110	41		171	12%	64%	24%	0%
	Province level team		7	5		12	0%	58%	42%	0%
	Group level team	1	11	5		17	6%	65%	29%	0%
Ratifies Enforcement Policy	Cabinet/Mayor	156	63	20	1	240	65%	26%	8%	0%
	Portfolio	112	75	29	2	218	51%	34%	13%	1%
	Other (please specify)	67	38	34	2	141	48%	27%	24%	1%
	Director	82	143	10	1	236	35%	61%	4%	0%
	Head of Service/Chief Officer	96	141	9	3	249	39%	57%	4%	1%
	Senior Officer	24	95	43	1	163	15%	58%	26%	1%
	Manager	30	153	25		208	14%	74%	12%	0%
	Team leader	14	114	41		169	8%	67%	24%	0%
	Province level team		7	5		12	0%	58%	42%	0%
	Group level team		12	5		17	0%	71%	29%	0%

Table J-004 – Food Hygiene Governance – Part 1

"We would like to know about who has particular responsibilities for Food Hygiene in your authority."

FOOD HYGIENE		Number of Responses					Percentage of Responses			
Responsibility	Person	Yes	No	Not Applicable	Don't Know	Total	Yes	No	Not Applicable	Don't Know
Plans Budget	Cabinet/Mayor	55	137	23	6	221	25%	62%	10%	3%
	Portfolio	48	128	27	4	207	23%	62%	13%	2%
	Other (please specify)	34	68	33	3	138	25%	49%	24%	2%
	Director	158	73	7	8	246	64%	30%	3%	3%
	Head of Service/Chief Officer	229	26	4	4	263	87%	10%	2%	2%
	Senior Officer	80	44	40		164	49%	27%	24%	0%
	Manager	126	65	23	1	215	59%	30%	11%	0%
	Team leader	31	103	38		172	18%	60%	22%	0%
	Province level team		8	4		12	0%	67%	33%	0%
	Group level team		14	4		18	0%	78%	22%	0%
Sets Budget	Cabinet/Mayor	136	71	19	4	230	59%	31%	8%	2%
	Portfolio	59	113	27	7	206	29%	55%	13%	3%
	Other (please specify)	70	37	32	3	142	49%	26%	23%	2%
	Director	108	120	7	8	243	44%	49%	3%	3%
	Head of Service/Chief Officer	111	129	7	3	250	44%	52%	3%	1%
	Senior Officer	19	99	42		160	12%	62%	26%	0%
	Manager	31	153	24	1	209	15%	73%	11%	0%
	Team leader	6	125	37	1	169	4%	74%	22%	1%
	Province level team		7	5		12	0%	58%	42%	0%
	Group level team		12	5		17	0%	71%	29%	0%

Table J-004 – Food Hygiene Governance – Part 2

"We would like to know about who has particular responsibilities for Food Hygiene in your authority."

FOOD HYGIENE		Number of Responses					Percentage of Responses			
Responsibility	Person	Yes	No	Not Applicable	Don't Know	Total	Yes	No	Not Applicable	Don't Know
Controls Budget	Cabinet/Mayor	27	159	26	5	217	12%	73%	12%	2%
	Portfolio	16	155	26	5	202	8%	77%	13%	2%
	Other (please specify)	17	82	34	3	136	13%	60%	25%	2%
	Director	113	105	9	8	235	48%	45%	4%	3%
	Head of Service/Chief Officer	210	46	5	2	263	80%	17%	2%	1%
	Senior Officer	86	41	40		167	51%	25%	24%	0%
	Manager	157	41	22		220	71%	19%	10%	0%
	Team leader	45	89	38		172	26%	52%	22%	0%
	Province level team		7	5		12	0%	58%	42%	0%
	Group level team		12	5		17	0%	71%	29%	0%
Operational Control	Cabinet/Mayor	3	190	23	1	217	1%	88%	11%	0%
	Portfolio	7	173	22		202	3%	86%	11%	0%
	Other (please specify)	1	108	31		140	1%	77%	22%	0%
	Director	39	182	5	5	231	17%	79%	2%	2%
	Head of Service/Chief Officer	162	82	6	2	252	64%	33%	2%	1%
	Senior Officer	103	23	40		166	62%	14%	24%	0%
	Manager	194	10	22		226	86%	4%	10%	0%
	Team leader	122	18	38		178	69%	10%	21%	0%
	Province level team	1	6	5		12	8%	50%	42%	0%
	Group level team	1	10	6		17	6%	59%	35%	0%

Table J-004 – Food Hygiene Governance – Part 3

"We would like to know about who has particular responsibilities for Food Standards in your authority."

	Percentage of Responding Authorities					
	Ratifies Service Plan	Ratifies Enforcement Policy	Plans Budget	Sets Budget	Controls Budget	Operational Control
Cabinet/Mayor	38%	50%	16%	50%	18%	0%
Portfolio	28%	22%	7%	9%	5%	1%
Other (please specify)	16%	18%	9%	22%	7%	0%
Elected level input	82%	90%	32%	81%	30%	1%
No input at Elected level	18%	10%	68%	19%	70%	99%
Director	31%	28%	54%	38%	48%	16%
Head of Service/Chief Officer	16%	14%	33%	15%	35%	46%
Senior Officer	2%	1%	5%	0%	6%	17%
Manager	0%	0%	3%	0%	4%	14%
Team leader	1%	1%	0%	1%	1%	5%
Officer level input	50%	44%	95%	54%	94%	98%
No input at Officer level	50%	56%	5%	46%	6%	2%

Table J-005 – Governance Summary – Food Standards

"We would like to know about who has particular responsibilities for Food Standards in your authority."

FOOD STANDARDS		Number of Responses					Percentage of Responses			
Responsibility	Person	Yes	No	Not Applicable	Don't Know	Total	Yes	No	Not Applicable	Don't Know
Ratifies Service Plan	Cabinet/Mayor	56	49	16	1	122	46%	40%	13%	1%
	Portfolio	58	35	18		111	52%	32%	16%	0%
	Other (please specify)	37	32	21		90	41%	36%	23%	0%
	Director	46	73	7		126	37%	58%	6%	0%
	Head of Service/Chief Officer	59	73	4		136	43%	54%	3%	0%
	Senior Officer	22	55	22		99	22%	56%	22%	0%
	Manager	17	75	15		107	16%	70%	14%	0%
	Team leader	8	63	23		94	9%	67%	24%	0%
	Province level team		6	5		11	0%	55%	45%	0%
	Group level team	1	10	5		16	6%	63%	31%	0%
Ratifies Enforcement Policy	Cabinet/Mayor	74	37	16		127	58%	29%	13%	0%
	Portfolio	54	35	19		108	50%	32%	18%	0%
	Other (please specify)	41	26	21	1	89	46%	29%	24%	1%
	Director	41	76	7		124	33%	61%	6%	0%
	Head of Service/Chief Officer	54	78	4		136	40%	57%	3%	0%
	Senior Officer	17	60	23		100	17%	60%	23%	0%
	Manager	13	80	15		108	12%	74%	14%	0%
	Team leader	5	65	24		94	5%	69%	26%	0%
	Province level team		7	4		11	0%	64%	36%	0%
	Group level team		11	5		16	0%	69%	31%	0%

Table J-006 – Food Standards Governance – Part 1

"We would like to know about who has particular responsibilities for Food Standards in your authority."

FOOD STANDARDS		Number of Responses					Percentage of Responses			
Responsibility	Person	Yes	No	Not Applicable	Don't Know	Total	Yes	No	Not Applicable	Don't Know
Plans Budget	Cabinet/Mayor	24	75	16	1	116	21%	65%	14%	1%
	Portfolio	20	62	20	2	104	19%	60%	19%	2%
	Other (please specify)	19	48	19	3	89	21%	54%	21%	3%
	Director	79	41	5	3	128	62%	32%	4%	2%
	Head of Service/Chief Officer	121	19	1		141	86%	13%	1%	0%
	Senior Officer	52	26	22		100	52%	26%	22%	0%
	Manager	58	36	14		108	54%	33%	13%	0%
	Team leader	15	55	25		95	16%	58%	26%	0%
	Province level team		7	4		11	0%	64%	36%	0%
	Group level team		12	4		16	0%	75%	25%	0%
Sets Budget	Cabinet/Mayor	73	37	15	1	126	58%	29%	12%	1%
	Portfolio	32	52	20	1	105	30%	50%	19%	1%
	Other (please specify)	47	22	19	3	91	52%	24%	21%	3%
	Director	57	58	7	3	125	46%	46%	6%	2%
	Head of Service/Chief Officer	60	71	3	1	135	44%	53%	2%	1%
	Senior Officer	14	63	21		98	14%	64%	21%	0%
	Manager	9	83	15		107	8%	78%	14%	0%
	Team leader	4	66	24		94	4%	70%	26%	0%
	Province level team		7	4		11	0%	64%	36%	0%
	Group level team		11	5		16	0%	69%	31%	0%

Table J-006 – Food Standards Governance – Part 2

"We would like to know about who has particular responsibilities for Food Standards in your authority."

FOOD STANDARDS		Number of Responses					Percentage of Responses			
Responsibility	Person	Yes	No	Not Applicable	Don't Know	Total	Yes	No	Not Applicable	Don't Know
Controls Budget	Cabinet/Mayor	26	76	18	1	121	21%	63%	15%	1%
	Portfolio	19	63	21	1	104	18%	61%	20%	1%
	Other (please specify)	17	52	19	1	89	19%	58%	21%	1%
	Director	71	46	5	4	126	56%	37%	4%	3%
	Head of Service/Chief Officer	118	24	1	1	144	82%	17%	1%	1%
	Senior Officer	51	28	20		99	52%	28%	20%	0%
	Manager	65	34	12		111	59%	31%	11%	0%
	Team leader	21	49	25		95	22%	52%	26%	0%
	Province level team		7	4		11	0%	64%	36%	0%
	Group level team		11	5		16	0%	69%	31%	0%
Operational Control	Cabinet/Mayor		99	19		118	0%	84%	16%	0%
	Portfolio	1	83	19		103	1%	81%	18%	0%
	Other (please specify)		68	19		87	0%	78%	22%	0%
	Director	24	88	6		118	20%	75%	5%	0%
	Head of Service/Chief Officer	91	43	2		136	67%	32%	1%	0%
	Senior Officer	72	11	21		104	69%	11%	20%	0%
	Manager	95	6	11		112	85%	5%	10%	0%
	Team leader	65	10	24		99	66%	10%	24%	0%
	Province level team	1	6	4		11	9%	55%	36%	0%
	Group level team	1	9	6		16	6%	56%	38%	0%

Table J-006 – Food Standards Governance – Part 3

Directorate	Number of Reponses
Environmental Health/Environmental Services + xyz	42
Local/ Community/ People	37
Environmental Health/Environmental Services	30
Other/Blank	28
Regulation	19
Planning/ Development/ Regeneration	8
Health/ Wellbeing	5
Finance/ Business	4

Table J-007 – Directorate For Food Hygiene

Group	Number of Responses
Regulation	51
Environmental Health/Environmental Services	25
Environmental Health/Environmental Services + xyz	17
Finance/ Business/ Development	16
Food Standards	14
Local/ Community/ People	14
Other	11
Health/ Wellbeing	5
Food Safety	4
Food Safety + xyz	2

Table J-008 – Directorate For Food Standards

Question	England	Northern Ireland	Scotland	Wales	UK
FTE	1345.7	101.8	242.9	157.8	1,848.2
FTE Vacancies	53.9	1.0	15.9	5.8	76.5
Contract Staff	52.7	6.7	1.0	8.0	68.4
People Working	1777.4	125.8	734.3	197.7	2,835.2

Table J-009 – Food Hygiene FTE Totals By Country

Question	England	Northern Ireland	Scotland	Wales	UK
FTE	112.5	22.3	33.7	2.1	170.6
FTE Vacancies	2.5	0.0	1.0	0.0	3.5
Contract Staff	4.3	0.0	0.0	0.0	4.3
People Working	249.7	36.0	75.0	2.1	362.8

Table J-010 – Food Hygiene Admin FTE Totals By Country

Question	England	Northern Ireland	Scotland	Wales	UK
Proportion of UK FTE	72.4%	6.1%	13.6%	8.0%	100.0%
Average FTE per person (Non-Admin)	81.7%	87.0%	35.4%	86.8%	70.3%
Average FTE per person (Admin)	47.8%	61.9%	46.3%	100.0%	49.2%
Proportion of FTE Vacancy	3.7%	0.9%	6.1%	3.4%	3.8%
Proportion of FTE Contractor	3.6%	6.1%	0.4%	4.7%	3.4%
Proportion of Staffing Admin	7.6%	16.9%	11.8%	1.2%	8.2%

Table J-011 – Food Hygiene FTE Proportions By Country

Question	England	Northern Ireland	Scotland	Wales	UK
FTE					711.7
FTE Vacancies					32.6
Contract Staff					19.4
People Working					1,222.7

Table J-012 – Food Standards FTE Totals By Country

Question	England	Northern Ireland	Scotland	Wales	UK
FTE					81.2
FTE Vacancies					0.0
Contract Staff					2.0
People Working					106.3

Table J-013 – Food Standards Admin FTE Totals By Country

Question	England	Northern Ireland	Scotland	Wales	UK
Proportion of UK FTE					**100.0%**
Average FTE per person (Non-Admin)					**62.5%**
Average FTE per person (Admin)					**78.3%**
Proportion of FTE Vacancy					**4.3%**
Proportion of FTE Contractor					**2.5%**
Proportion of Staffing Admin					**9.8%**

Table J-014 – Food Standards FTE Proportions By Country

Training Purpose	Year	No of Responses			Total Responses	Percentage		
		Fully	Partially	No		Fully	Partially	No
Training to maintain competencies	2009/10	297	11		308	96%	4%	0%
	2010/11	295	14		309	95%	5%	0%
	2011/12	292	17		309	94%	6%	0%
	2012/13	288	20		308	94%	6%	0%
Training to extend competencies	2009/10	226	66	4	296	76%	22%	1%
	2010/11	227	66	4	297	76%	22%	1%
	2011/12	214	78	5	297	72%	26%	2%
	2012/13	210	79	8	297	71%	27%	3%
Training for managerial/leadership skills	2009/10	169	87	35	291	58%	30%	12%
	2010/11	164	95	34	293	56%	32%	12%
	2011/12	157	103	33	293	54%	35%	11%
	2012/13	152	105	35	292	52%	36%	12%

Table J-015 –Training Provision For FS/FH Staff – UK

Country	Training Purpose	Year	Number of Responses			Total Responses	Percentage		
			Fully	Partially	No		Fully	Partially	No
England	Training to maintain competencies	2009/10	224	9		233	96%	4%	0%
		2010/11	223	11		234	95%	5%	0%
		2011/12	220	14		234	94%	6%	0%
		2012/13	217	16		233	93%	7%	0%
	Training to extend competencies	2009/10	175	53	4	232	75%	23%	2%
		2010/11	175	54	4	233	75%	23%	2%
		2011/12	165	63	5	233	71%	27%	2%
		2012/13	161	64	8	233	69%	27%	3%
	Training for managerial/leadership skills	2009/10	138	63	27	228	61%	28%	12%
		2010/11	135	68	27	230	59%	30%	12%
		2011/12	129	77	24	230	56%	33%	10%
		2012/13	125	77	27	229	55%	34%	12%

Country	Training Purpose	Year	Number of Responses			Total Responses	Percentage		
			Fully	Partially	No		Fully	Partially	No
Northern Ireland	Training to maintain competencies	2009/10	29			29	100%	0%	0%
		2010/11	28	1		29	97%	3%	0%
		2011/12	28	1		29	97%	3%	0%
		2012/13	27	2		29	93%	7%	0%
	Training to extend competencies	2009/10	26	3		29	90%	10%	0%
		2010/11	26	3		29	90%	10%	0%
		2011/12	24	5		29	83%	17%	0%
		2012/13	23	6		29	79%	21%	0%
	Training for managerial/leadership skills	2009/10	17	9	3	29	59%	31%	10%
		2010/11	15	10	4	29	52%	34%	14%
		2011/12	13	11	5	29	45%	38%	17%
		2012/13	12	12	5	29	41%	41%	17%

			Number of Responses				Percentage		

Country	Training Purpose	Year	Fully	Partially	No	Total Responses	Fully	Partially	No
Scotland	Training to maintain competencies	2009/10	25	2		27	93%	7%	0%
		2010/11	25	2		27	93%	7%	0%
		2011/12	25	2		27	93%	7%	0%
		2012/13	25	2		27	93%	7%	0%
	Training to extend competencies	2009/10	18	9		27	67%	33%	0%
		2010/11	19	8		27	70%	30%	0%
		2011/12	18	9		27	67%	33%	0%
		2012/13	19	8		27	70%	30%	0%
	Training for managerial/leadership skills	2009/10	11	10	5	26	42%	38%	19%
		2010/11	11	12	3	26	42%	46%	12%
		2011/12	11	11	4	26	42%	42%	15%
		2012/13	11	12	3	26	42%	46%	12%
			Number of Responses				**Percentage**		
Country	**Training Purpose**	**Year**	**Fully**	**Partially**	**No**	**Total Responses**	**Fully**	**Partially**	**No**
Wales	Training to maintain competencies	2009/10	19			19	100%	0%	0%
		2010/11	19			19	100%	0%	0%
		2011/12	19			19	100%	0%	0%
		2012/13	19			19	100%	0%	0%
	Training to extend competencies	2009/10	7	1		8	88%	13%	0%
		2010/11	7	1		8	88%	13%	0%
		2011/12	7	1		8	88%	13%	0%
		2012/13	7	1		8	88%	13%	0%
	Training for managerial/leadership skills	2009/10	3	5		8	38%	63%	0%
		2010/11	3	5		8	38%	63%	0%
		2011/12	4	4		8	50%	50%	0%
		2012/13	4	4		8	50%	50%	0%

Table J-016a –Training Provision – By Country

			Responses				Percentage		
	Training Purpose	**Year**	**Fully**	**Partially**	**No**	**Total Responses**	**Fully**	**Partially**	**No**
Food Standards	Training to maintain competencies	2009/10	21			21	100%	0%	0%
		2010/11	20	1		21	95%	5%	0%
		2011/12	20	1		21	95%	5%	0%
		2012/13	20	1		21	95%	5%	0%
	Training to extend competencies	2009/10	15	6		21	71%	29%	0%
		2010/11	15	6		21	71%	29%	0%
		2011/12	14	7		21	67%	33%	0%
		2012/13	14	7		21	67%	33%	0%
	Training for managerial/leadership skills	2009/10	15	5	1	21	71%	24%	5%
		2010/11	15	5	1	21	71%	24%	5%
		2011/12	13	7	1	21	62%	33%	5%
		2012/13	13	7	1	21	62%	33%	5%
Food Hygiene	Training to maintain competencies	2009/10	136	5		141	96%	4%	0%
		2010/11	135	6		141	96%	4%	0%
		2011/12	133	8		141	94%	6%	0%
		2012/13	133	7		140	95%	5%	0%
	Training to extend competencies	2009/10	113	25	2	140	81%	18%	1%
		2010/11	114	24	2	140	81%	17%	1%
		2011/12	110	29	1	140	79%	21%	1%
		2012/13	109	29	2	140	78%	21%	1%
	Training for managerial/leadership skills	2009/10	85	34	18	137	62%	25%	13%
		2010/11	86	35	16	137	63%	26%	12%
		2011/12	85	41	12	138	62%	30%	9%
		2012/13	81	43	13	137	59%	31%	9%

	Training Purpose	Year	Responses				Percentage		
			Fully	Partially	No	Total Responses	Fully	Partially	No
Both Food Hygiene and Food Standards	Training to maintain competencies	2009/10	140	6		146	96%	4%	0%
		2010/11	140	7		147	95%	5%	0%
		2011/12	139	8		147	95%	5%	0%
		2012/13	135	12		147	92%	8%	0%
	Training to extend competencies	2009/10	98	35	2	135	73%	26%	1%
		2010/11	98	36	2	136	72%	26%	1%
		2011/12	90	42	4	136	66%	31%	3%
		2012/13	87	43	6	136	64%	32%	4%
	Training for managerial/leadership skills	2009/10	69	48	16	133	52%	36%	12%
		2010/11	63	55	17	135	47%	41%	13%
		2011/12	59	55	20	134	44%	41%	15%
		2012/13	58	55	21	134	43%	41%	16%

Table J-016b –Training Provision – By Service

FOOD HYGIENE	Yes			Number of Responding Authorities	% of Responding Authorities		
Area of Joint Working	All Aspects	Inspections /Investigations	Intelligence Gathering		All Aspects	Inspections /Investigations	Intelligence Gathering
Infectious Diseases	265	278	275	286	93%	97%	96%
Health and Safety	209	235	268	284	74%	83%	94%
Drinking Water	146	200	228	280	52%	71%	81%
Health and Well Being (including healthier eating)	124	150	200	284	44%	53%	70%
Food Standards	117	128	224	280	42%	46%	80%
Other	85	104	122	227	37%	46%	54%
Licensing	66	143	225	282	23%	51%	80%
Port Health related work	63	94	120	278	23%	34%	43%
Noise Control	61	89	150	279	22%	32%	54%
Pollution Control	56	94	161	279	20%	34%	58%
Housing	20	31	116	278	7%	11%	42%
Economic growth	16	24	85	277	6%	9%	31%
Other Trading Standards	10	20	110	276	4%	7%	40%

Table J-017 – Other Duties for Food Hygiene Staff – UK Responses

Authority Type	Area of Joint Working	Yes			Number of Responding Authorities	% Responding Authorities		
		All Aspects	Inspections /Investigations	Intelligence Gathering		All Aspects	Inspections /Investigations	Intelligence Gatheri
Borough	Drinking Water	36	50	52	73	49%	68%	7
	Economic growth	4	4	15	74	5%	5%	20
	Food Standards	26	26	52	73	36%	36%	71
	Health and Safety	56	60	71	75	75%	80%	95
	Health and Well Being (including healthier eating)	45	44	54	75	60%	59%	72
	Housing	8	9	28	73	11%	12%	38
	Infectious Diseases	74	74	74	76	97%	97%	97
	Licensing	15	30	55	74	20%	41%	74
	Noise Control	18	23	34	73	25%	32%	47
	Other	19	21	23	62	31%	34%	37
	Other Trading Standards	3	6	24	72	4%	8%	33
	Pollution Control	16	20	33	73	22%	27%	45
	Port Health related work	11	17	25	73	15%	23%	34
City	Drinking Water	8	11	14	16	50%	69%	88
	Economic growth			1	16	0%	0%	6
	Food Standards	6	6	11	15	40%	40%	73
	Health and Safety	9	10	15	16	56%	63%	94
	Health and Well Being (including healthier eating)	4	8	10	16	25%	50%	63
	Housing	1		4	16	6%	0%	25
	Infectious Diseases	14	13	13	16	88%	81%	81
	Licensing	1	7	10	16	6%	44%	63
	Noise Control	1	2	6	16	6%	13%	38
	Other	5	5	5	13	38%	38%	38
	Other Trading Standards			7	15	0%	0%	47
	Pollution Control	1	2	9	16	6%	13%	56
	Port Health related work	4	7	7	16	25%	44%	44

Authority Type	Area of Joint Working	Yes			Number of Responding Authorities	% Responding Authorities		
		All Aspects	Inspections /Investigations	Intelligence Gathering		All Aspects	Inspections /Investigations	Intelligen Gatheri
County	Drinking Water	1	2	2	3	33%	67%	67
	Economic growth				2	3	0%	0%	67
	Food Standards	2	3	4	4	50%	75%	100
	Health and Safety	2	2	3	3	67%	67%	100
	Health and Well Being (including healthier eating)	2	2	3	3	67%	67%	100
	Housing				2	3	0%	0%	67
	Infectious Diseases	3	3	3	3	100%	100%	100
	Licensing	2	2	3	3	67%	67%	100
	Noise Control				2	3	0%	0%	67
	Other					1	0%	0%	0
	Other Trading Standards				2	3	0%	0%	67
	Pollution Control				2	3	0%	0%	67
	Port Health related work	2	2	2	3	67%	67%	67
District	Drinking Water	40	61	80	92	43%	66%	87
	Economic growth	5	8	30	89	6%	9%	34
	Food Standards	20	20	66	92	22%	22%	72
	Health and Safety	78	86	88	93	84%	92%	95
	Health and Well Being (including healthier eating)	32	42	63	93	34%	45%	68
	Housing	6	12	41	90	7%	13%	46
	Infectious Diseases	92	92	91	94	98%	98%	97
	Licensing	27	56	80	92	29%	61%	87
	Noise Control	16	25	51	91	18%	27%	56
	Other	29	36	43	73	40%	49%	59
	Other Trading Standards	4	5	34	91	4%	5%	37

Authority Type	Area of Joint Working	Yes			Number of Responding Authorities	% Responding Authorities		
		All Aspects	Inspections /Investigations	Intelligence Gathering		All Aspects	Inspections /Investigations	Intelligen Gatheri
	Pollution Control	12	30	56	91	13%	33%	62
	Port Health related work	14	25	33	90	16%	28%	37
	Drinking Water	6	6	6	6	100%	100%	100
	Economic growth			1	6	0%	0%	17
	Food Standards	3	3	4	6	50%	50%	67
	Health and Safety		2	3	6	0%	33%	50
	Health and Well Being (including healthier eating)				6	0%	0%	0
	Housing				6	0%	0%	0
Port Health Authority	Infectious Diseases	6	6	6	6	100%	100%	100
	Licensing			2	6	0%	0%	33
	Noise Control	3	4	4	6	50%	67%	67
	Other	3	4	4	5	60%	80%	80
	Other Trading Standards		1	4	6	0%	17%	67
	Pollution Control	5	6	6	6	83%	100%	100
	Port Health related work	6	6	6	6	100%	100%	100
	Drinking Water	55	70	74	90	61%	78%	82
	Economic growth	7	12	36	89	8%	13%	40
	Food Standards	60	70	87	90	67%	78%	97
	Health and Safety	64	75	88	91	70%	82%	97
Unitary	Health and Well Being (including healthier eating)	41	54	70	91	45%	59%	77
	Housing	5	10	41	90	6%	11%	46
	Infectious Diseases	76	90	88	91	84%	99%	97
	Licensing	21	48	75	91	23%	53%	82
	Noise Control	23	35	53	90	26%	39%	59
	Other	29	38	47	73	40%	52%	64

| Authority Type | Area of Joint Working | Yes | | | Number of Responding Authorities | % Responding Authorities | | |
		All Aspects	Inspections /Investigations	Intelligence Gathering		All Aspects	Inspections /Investigations	Intelligenc Gatheri
	Other Trading Standards	3	8	39	89	3%	9%	44
	Pollution Control	22	36	55	90	24%	40%	61
	Port Health related work	26	37	47	90	29%	41%	52

Table J-018 – Other Duties for Food Hygiene Staff – By Authority Type

Country	Area of Joint Working	Yes			Number of Responding Authorities	% Responding Authorities		
		All Aspects	Inspections /Investigations	Intelligence Gathering		All Aspects	Inspections /Investigations	Intelligence Gathering
England	Drinking Water	105	141	170	208	50%	68%	82%
England	Economic growth	14	16	68	206	7%	8%	33%
England	Food Standards	57	62	153	207	28%	30%	74%
England	Health and Safety	166	184	204	213	78%	86%	96%
England	Health and Well Being (including healthier eating)	90	104	144	212	42%	49%	68%
England	Housing	9	15	87	207	4%	7%	42%
England	Infectious Diseases	199	209	206	214	93%	98%	96%
England	Licensing	41	101	172	211	19%	48%	82%
England	Noise Control	44	65	115	208	21%	31%	55%
England	Other	64	79	90	168	38%	47%	54%
England	Other Trading Standards	5	10	86	206	2%	5%	42%
England	Pollution Control	40	69	120	208	19%	33%	58%
England	Port Health related work	42	68	91	207	20%	33%	44%
Northern Ireland	Drinking Water	12	20	17	26	46%	77%	65%
Northern Ireland	Economic growth				25	0%	0%	0%
Northern Ireland	Food Standards	27	27	27	28	96%	96%	96%
Northern Ireland	Health and Safety	10	13	20	25	40%	52%	80%
Northern Ireland	Health and Well Being (including healthier eating)	14	18	20	26	54%	69%	77%
Northern Ireland	Housing	6	6	7	25	24%	24%	28%
Northern Ireland	Infectious Diseases	26	25	25	26	100%	96%	96%
Northern Ireland	Licensing	5	9	13	25	20%	36%	52%
Northern Ireland	Noise Control	5	5	7	25	20%	20%	28%
Northern Ireland	Other	5	4	7	22	23%	18%	32%
Northern Ireland	Other Trading Standards	3	6	7	25	12%	24%	28%
Northern Ireland	Pollution Control	2	5	10	25	8%	20%	40%
Northern Ireland	Port Health related work	3	4	5	25	12%	16%	20%

Country	Area of Joint Working	Yes			Number of Responding Authorities	% Responding Authorities		
		All Aspects	Inspections /Investigations	Intelligence Gathering		All Aspects	Inspections /Investigations	Intelligence Gathering
Scotland	Drinking Water	18	22	23	27	67%	81%	85%
Scotland	Economic growth	1	2	5	27	4%	7%	19%
Scotland	Food Standards	27	27	27	27	100%	100%	100%
Scotland	Health and Safety	22	23	26	27	81%	85%	96%
Scotland	Health and Well Being (including healthier eating)	14	18	20	27	52%	67%	74%
Scotland	Housing	4	6	8	27	15%	22%	30%
Scotland	Infectious Diseases	24	25	25	27	89%	93%	93%
Scotland	Licensing	17	23	23	27	63%	85%	85%
Scotland	Noise Control	9	12	14	27	33%	44%	52%
Scotland	Other	8	9	11	23	35%	39%	48%
Scotland	Other Trading Standards				4	27	0%	0%	15%
Scotland	Pollution Control	10	11	14	27	37%	41%	52%
Scotland	Port Health related work	11	14	15	27	41%	52%	56%
Wales	Drinking Water	11	17	18	19	58%	89%	95%
Wales	Economic growth	1	6	12	19	5%	32%	63%
Wales	Food Standards	6	12	17	18	33%	67%	94%
Wales	Health and Safety	11	15	18	19	58%	79%	95%
Wales	Health and Well Being (including healthier eating)	6	10	16	19	32%	53%	84%
Wales	Housing	1	4	14	19	5%	21%	74%
Wales	Infectious Diseases	16	19	19	19	84%	100%	100%
Wales	Licensing	3	10	17	19	16%	53%	89%
Wales	Noise Control	3	7	14	19	16%	37%	74%
Wales	Other	8	12	14	14	57%	86%	100%
Wales	Other Trading Standards	2	4	13	18	11%	22%	72%
Wales	Pollution Control	4	9	17	19	21%	47%	89%
Wales	Port Health related work	7	8	9	19	37%	42%	47%

Table J-019 – Other Duties for Food Hygiene Staff – By Country

Food Standards	Yes				% of Responding Authorities		
Area of Joint Working	All Aspects	Inspections /Investigations	Intelligence Gathering	Number of Responding Authorities	All Aspects	Inspections /Investigations	Intelligence Gathering
Food Hygiene	89	99	132	156	57%	63%	85%
Infectious diseases	83	90	99	152	55%	59%	65%
Health and Safety	69	81	115	153	45%	53%	75%
Consumer advice/support/education	68	85	108	154	44%	55%	70%
Animal feed	63	69	88	155	41%	45%	57%
Health Promotion	59	83	111	155	38%	54%	72%
Other Trading Standards	59	66	81	155	38%	43%	52%
Drinking Water	50	73	86	153	33%	48%	56%
Animal health	41	54	85	153	27%	35%	56%
Other	30	35	45	114	26%	31%	39%
Licensing	38	69	105	152	25%	45%	69%
Port health related work	27	39	55	151	18%	26%	36%
Economic growth	14	15	43	151	9%	10%	28%
Housing	9	14	36	151	6%	9%	24%

Table J-020 – Other Duties for Food Standard Staff – UK Responses

Funding Source	Significant	Not Significant	Don't Know
Organic Certification	1.2%	95.9%	2.9%
Work for other Authorities	1.6%	98.0%	0.4%
Other (non-FSA) Government Grants	3.5%	93.3%	3.1%
PHA Duties	3.6%	94.8%	1.6%
Recoveries via Proceeds of Crime Act	4.0%	94.0%	2.0%
Other	8.5%	88.3%	3.2%
Primary Authority Relationships	6.2%	93.5%	0.4%
Sanitation Certificates	6.5%	91.5%	2.0%
Health Certificates	8.8%	91.2%	0.0%
Private Water Supplies	12.3%	86.6%	1.2%
Export Certification	13.9%	85.7%	0.4%
Training	17.4%	82.6%	0.0%
FSA Grants	33.7%	64.9%	1.4%

Table J-021 – Significant Sources of Income

Funding Source	Assumed	Not Assumed	Don't Know
Recoveries via Proceeds of Crime Act	0.7%	96.5%	2.8%
Other (non-FSA) Government Grants	4.5%	91.6%	3.9%
Work for other Authorities	5.3%	92.5%	2.3%
Organic Certification	6.1%	89.3%	4.6%
Other	11.1%	82.8%	6.1%
PHA Duties	12.3%	83.3%	4.3%
Primary Authority Relationships	13.8%	84.2%	2.0%
Sanitation Certificates	18.1%	79.0%	2.9%
Health Certificates	23.4%	75.2%	1.5%
FSA Grants	16.6%	82.0%	1.4%
Private Water Supplies	29.2%	65.6%	5.2%
Export Certification	34.1%	64.7%	1.2%
Training	36.8%	62.0%	1.2%

Table J-022 – Income Sources Assumed in Budget Setting

Funding Source	Higher	Same	Lower	Don't Know
Organic Certification	1.2%	74.7%	4.8%	19.3%
Other (non-FSA) Government Grants	2.8%	56.5%	5.6%	35.2%
Work for other Authorities	3.6%	75.0%	2.4%	19.0%
PHA Duties	4.4%	71.4%	4.4%	19.8%
Recoveries via Proceeds of Crime Act	4.2%	69.5%	4.2%	22.1%
Other	9.0%	64.2%	4.5%	22.4%
Sanitation Certificates	8.5%	73.4%	5.3%	12.8%
Health Certificates	10.2%	68.4%	10.2%	11.2%
Private Water Supplies	16.8%	62.2%	5.9%	15.1%
Export Certification	20.3%	62.5%	6.3%	10.9%
Primary Authority Relationships	25.5%	59.4%	0.9%	14.2%
Training	22.8%	53.7%	15.4%	8.1%
FSA Grants	27.0%	36.0%	20.6%	16.4%

Table J-023 – Value of Income Sources in 2012/13 Compared to 2009/10

Funding Source	Higher	Same	Lower	Don't Know
Organic Certification	0.0%	62.4%	3.5%	34.1%
Other (non-FSA) Government Grants	0.0%	48.2%	8.2%	43.6%
Sanitation Certificates	1.0%	67.7%	3.1%	28.1%
Other	2.9%	55.1%	8.7%	33.3%
PHA Duties	2.2%	60.2%	2.2%	35.5%
Health Certificates	3.0%	63.0%	8.0%	26.0%
Work for other Authorities	3.5%	57.6%	2.4%	36.5%
Recoveries via Proceeds of Crime Act	4.1%	55.7%	4.1%	36.1%
FSA Grants	2.7%	33.7%	24.1%	39.6%
Export Certification	5.4%	65.9%	5.4%	23.3%
Training	7.9%	59.8%	15.0%	17.3%
Private Water Supplies	13.2%	58.7%	4.1%	24.0%
Primary Authority Relationships	18.2%	53.6%	2.7%	25.5%

Table J-024 – Expected Future Value of Income Sources Compared to 2009/10

Funding Source	Ring-Fenced	Not Ring-Fenced	Don't Know
Organic Certification	13.3%	42.7%	44.0%
Recoveries via Proceeds of Crime Act	11.5%	52.9%	35.6%
Work for other Authorities	13.3%	48.0%	38.7%
Other	19.7%	44.3%	36.1%
PHA Duties	16.0%	46.9%	37.0%
Sanitation Certificates	20.0%	44.7%	35.3%
Other (non-FSA) Government Grants	18.0%	38.0%	44.0%
Health Certificates	24.7%	43.8%	31.5%
Private Water Supplies	23.6%	50.9%	25.5%
Primary Authority Relationships	29.9%	35.1%	35.1%
Training	32.8%	45.7%	21.6%
Export Certification	32.8%	47.1%	20.2%
FSA Grants	76.1%	18.5%	5.4%

Table J-025 – External Income Sources Ring-Fenced for Food Safety Use

Scope	Answer	Admin Support	Food Hygiene	Food Standards	Laboratory Services	Legal Services	Other Services (eg IT)	Sampling Services
Are any services informally shared with another authority?	Yes but will change				1			
	Yes	9	43	25	17	15	11	20
	No but will change		6	2	1	1	4	4
	No	256	234	201	233	241	233	236

Table J-026 –Services Shared Informally With Another Authority – UK Responses

Scope	Answer	Admin Support	Food Hygiene	Food Standards	Laboratory Services	Legal Services	Other Services (eg IT)	Sampling Services
Are any services outsourced jointly with other authorities?	Yes but will change		1	1			2	
	Yes	2	10	5	64	18	23	8
	No but will change	3	2	1	1	2	12	2
	No	274	272	226	205	254	228	264

Table J-027 –Services Jointly Outsourced With Other Authorities – UK Responses

Scope	Answer	Admin Support	Food Hygiene	Food Standards	Laboratory Services	Legal Services	Other Services (eg IT)	Sampling Services
Are any services outsourced to a commercial company?	Yes but will change	1	1		1			
	Yes	8	19	4	82	28	47	10
	No but will change	3	4	2			6	
	No	256	260	221	177	235	202	252

Table J-028 –Services Outsourced By Authority – UK Responses

Scope	Answer	Admin Support	Food Hygiene	Food Standards	Laboratory Services	Legal Services	Other Services (eg IT)	Sampling Services
Are any services outsourced to another authority?	Yes but will change							1
	Yes	4	6	7	25	19	14	5
	No but will change	1				1	8	1
	No	266	277	223	236	246	234	259

Table J-029 –Services Outsourced To Another Authority – UK Responses

Scope	Answer	Admin Support	Food Hygiene	Food Standards	Laboratory Services	Legal Services	Other Services (eg IT)	Sampling Services
Are there any arrangements for sharing intelligence with other LAs?	Yes but will change						2	1
	Yes	48	280	215	119	81	64	140
	No but will change	1	4	1	2			2
	No	182	6	28	109	146	150	94

Table J-030 –Intelligence Sharing With Other Authorities – UK Responses

Scope	Answer	Admin Support	Food Hygiene	Food Standards	Laboratory Services	Legal Services	Other Services (eg IT)	Sampling Services
Are there any arrangements for sharing intelligence with other organisations (e.g. Police, HMRC, HPA or Public Health Wales)?	Yes but will change		1		1			
	Yes	31	268	185	101	65	50	102
	No but will change		3	1	1		1	
	No	197	19	51	125	159	163	135

Table J-031 – Intelligence Sharing With Other Organisations– UK Responses

Scope	Answer	Admin Support	Food Hygiene	Food Standards	Laboratory Services	Legal Services	Other Services (eg IT)	Sampling Services
Are there any arrangements for sharing intelligence within your own LA?	Yes but will change					1		
	Yes	95	261	164	73	119	85	92
	No but will change	3	5			1		
	No	138	21	68	153	114	136	141

Table J-032 – Intelligence Sharing Within The Authority – UK Responses

Scope	Answer	Admin Support	Food Hygiene	Food Standards	Laboratory Services	Legal Services	Other Services (eg IT)	Sampling Services
Is there joint working with another Authority?	Yes but will change	3	1	1	1	1	2	3
	Yes	13	82	75	102	65	78	60
	No but will change	17	20	8	2	9	15	11
	No	250	185	156	176	207	182	212

Table J-033 – Joint Working With Other Authorities – UK Responses

FOOD HYGIENE						% Total			% Yes + No	
Question	Yes	No	(Null)	Total	Total Yes & No	Yes	No	(Null)	Yes	No
Delegation to less Experienced Officers	17	270	31	318	287	5%	85%	10%	6%	94%
Delegation to less Qualified Officers	15	268	35	318	283	5%	84%	11%	5%	95%
Planning to change Delegation	30	251	37	318	281	9%	79%	12%	11%	89%

Table J-034 – Delegation of Food Hygiene Duties – UK Responses

Country	Yes	No	(Null)	Total	Total Yes & No	Yes	No	(Null)	Yes	No
England	14	201	28	243	215	6%	83%	12%	7%	93%
Northern Ireland	1	27	1	29	28	3%	93%	3%	4%	96%
Scotland	2	25		27	27	7%	93%	0%	7%	93%
Wales		17	2	19	17	0%	89%	11%	0%	100%

Table J-035 – Delegation of Food Hygiene Duties To A Less Experienced Officer By Country

Country	Yes	No	(Null)	Total	Total Yes & No	Yes	No	(Null)	Yes	No
England	10	204	29	243	214	4%	84%	12%	5%	95%
Northern Ireland	3	23	3	29	26	10%	79%	10%	12%	88%
Scotland	2	24	1	27	26	7%	89%	4%	8%	92%
Wales		17	2	19	17	0%	89%	11%	0%	100%

Table J-036 – Delegation of Food Hygiene Duties To A Less Qualified Officer By Country

Country	Yes	No	(Null)	Total	Total Yes & No	Yes	No	(Null)	Yes	No
England	27	185	31	243	212	11%	76%	13%	13%	87%
Northern Ireland		25	4	29	25	0%	86%	14%	0%	100%
Scotland	3	24		27	27	11%	89%	0%	11%	89%
Wales		17	2	19	17	0%	89%	11%	0%	100%

Table J-037 – Planning To Change Delegation Rules By Country

FOOD STANDARDS						% Total			% Yes + No	
Question	Yes	No	(Null)	Total	Total Yes & No	Yes	No	(Null)	Yes	No
Delegation to less Experienced Officers	5	145	4	154	150	3%	94%	3%	3%	97%
Delegation to less Qualified Officers	5	147	2	154	152	3%	95%	1%	3%	97%
Planning to change Delegation	14	126	14	154	140	9%	82%	9%	10%	90%

Table J-038 – Delegation of Food Standards Duties – UK Responses

Year	Dedicated Admin - Food Hygiene	Year on year % Change	Dedicated Admin - Food Standards	Year on year % Change	Food Hygiene - Excluding Admin	Year on year % Change	Food Standards - Excluding Admin	Year on year % Change	Grand Total	Year on year % Change
31-Mar-10	301		85		1743		754		2883	
31-Mar-11	286	-5.1%	80	-6.0%	1728	-0.9%	737	-2.2%	2831	-1.8%
31-Mar-12	259	-9.3%	75	-6.1%	1691	-2.1%	724	-1.8%	2750	-2.9%
31-March-2013 (est)	260	0.3%	76	1.3%	1645	-2.7%	701	-3.3%	2682	-2.4%

	Dedicated Admin - Food Hygiene	Dedicated Admin - Food Standards	Food Hygiene - Excluding Admin	Food Standards - Excluding Admin	Grand Total
Percentage Change between 31-Mar-10 and 31-Mar-13	-13.6%	-10.5%	-5.6%	-7.0%	-7.0%

Table J-039 – Numbers Of Posts By Role And Year – UK Responses

Service Area	Yes	No	Not Applicable	Yes+ No	% Yes	% No
Approvals	262		27	262	100%	0%
Outbreak and Incident Management	279	1	10	280	100%	0%
Complaints/Intelligence & Policy	287	2		289	99%	1%
Enforcement and Prosecutions	290	3		293	99%	1%
Inspections - category A (food hygiene)	276	3	13	279	99%	1%
Inspections - category B (food hygiene)	276	4	13	280	99%	1%
Public Health	248	4	28	252	98%	2%
Business Advice and Education	283	5	2	288	98%	2%
Export Certification	212	4	71	216	98%	2%
Sampling Services	266	8	13	274	97%	3%
Imports - inland	213	7	61	220	97%	3%
Legal Services	246	9	38	255	96%	4%
Inspections - category A (food standards)	158	7	95	165	96%	4%
Internal Review/Audit	272	17	1	289	94%	6%
Intervention profile	248	17	12	265	94%	6%
Laboratory Services	214	18	53	232	92%	8%
Inspections - category C (food hygiene)	251	27	14	278	90%	10%
Home Authority role	167	27	96	194	86%	14%
Imports - ports	59	13	206	72	82%	18%
Inspections - category D (food hygiene)	223	54	14	277	81%	19%
Inspections - category E (food hygiene)	216	58	15	274	79%	21%
Inspections - category B (food standards)	116	47	95	163	71%	29%
Primary Authority role	82	36	172	118	69%	31%
Inspections - category C (food standards)	108	54	95	162	67%	33%
Vessels/Offshore (if appropriate)	39	20	213	59	66%	34%

Table J-040 – Compliance With Code Of Practice By Activity – UK Responses

Service Area	Num Responses				% of Responses		
	Permanent Staff	Contract Staff	Mixture of Permanent and Contract Staff	Total Responses	Permanent Staff	Contract Staff	Mixture of Permanent and Contract Staff
Vessels/Offshore (if appropriate)	50			50	100%	0%	0%
Export Certification	212		2	214	99%	0%	1%
Primary Authority role	96		3	99	97%	0%	3%
Approvals	248	2	6	256	97%	1%	2%
Home Authority role	161	1	5	167	96%	1%	3%
Internal Review/Audit	266	3	8	277	96%	1%	3%
Inspections - category A (food hygiene)	264		11	275	96%	0%	4%
Outbreak and Incident Management	259	3	8	270	96%	1%	3%
Enforcement and Prosecutions	269		13	282	95%	0%	5%
Inspections - category A (food standards)	154		9	163	94%	0%	6%
Imports - ports	63	1	3	67	94%	1%	4%
Complaints/Intelligence & Policy	265		18	283	94%	0%	6%
Public Health	231	1	15	247	94%	0%	6%
Inspections - category B (food standards)	144		11	155	93%	0%	7%
Inspections - category B (food hygiene)	254		21	275	92%	0%	8%
Imports - inland	191		18	209	91%	0%	9%
Intervention profile	229		24	253	91%	0%	9%
Business Advice and Education	253		27	280	90%	0%	10%
Sampling Services	229	5	21	255	90%	2%	8%
Inspections - category C (food standards)	132	1	17	150	88%	1%	11%
Inspections - category E (food hygiene)	223	2	31	256	87%	1%	12%
Legal Services	210	11	24	245	86%	4%	10%
Inspections - category D (food hygiene)	213	4	50	267	80%	1%	19%
Inspections - category C (food hygiene)	211	3	58	272	78%	1%	21%
Laboratory Services	114	62	12	188	61%	33%	6%

Table J-041 – Use of Contractors By Activity – UK Responses

Significant Change to Budget	Number Of Response	% Responses
Yes	134	44%
No	152	49%
(null)	22	7%
Total	308	

Table J-042 – Significant Changes To Food Safety Budget Compared to 2009/10 – UK Responses

Level	Data	Year				
		% Change 2009/10	% Change 2010/11	% Change 2011/12	% Change 2012/13	% Change 2013/14
At Authority level	Max of Interpreted Data	6%	10%	10%	10%	8%
	Min of Interpreted Data	-5%	-13%	-24%	-21%	-50%
	Average of Interpreted Data	0%	1%	-5%	-2%	-4%
At Food Hygiene level	Max of Interpreted Data	20%	22%	20%	15%	14%
	Min of Interpreted Data	-36%	-73%	-77%	-28%	-8%
	Average of Interpreted Data	1%	-4%	-12%	-4%	0%
At Food Standards level	Max of Interpreted Data	7%	1%	0%	16%	0%
	Min of Interpreted Data	-18%	-10%	-22%	-20%	0%
	Average of Interpreted Data	-1%	-2%	-9%	-2%	0%
At level budget is set (if not FH or FS)	Max of Interpreted Data	10%	11%	19%	25%	10%
	Min of Interpreted Data	-13%	-29%	-38%	-24%	-20%
	Average of Interpreted Data	0%	-3%	-6%	-3%	-1%

Table J-043 – Budget Changes and Predicted Changes 2009/10 To 2013/14 – UK Responses

Change	Percentage								
	CA 2009/10	CA 2010/11	CA 2011/12	FH 2009/10	FH 2010/11	FH 2011/12	FS 2009/10	FS 2010/11	FS 2011/12
Centralisation of administration	12%	12%	18%	8%	9%	14%	9%	13%	17%
Contracting out services	15%	19%	22%	5%	5%	6%	2%	2%	4%
Cuts to service provided	25%	31%	34%	12%	15%	19%	16%	20%	28%
Home Working	16%	20%	27%	15%	18%	24%	16%	17%	23%
Hot Desking	11%	14%	21%	9%	11%	17%	12%	17%	23%
Job re-grading	19%	15%	19%	13%	7%	13%	11%	8%	13%
Limit to Travel Budget	12%	14%	17%	10%	14%	15%	13%	14%	20%
Loss of allowances (e.g. car allowance)	12%	15%	22%	10%	11%	18%	11%	14%	21%
Loss of Leave	1%	2%	3%	1%	1%	2%	2%	1%	2%
Loss of posts	40%	46%	51%	26%	26%	29%	24%	31%	31%
Loss of training posts	10%	9%	11%	7%	9%	10%	7%	7%	10%
Mobile Working	12%	15%	21%	8%	13%	19%	11%	14%	19%
Other	0%	1%	4%	0%	1%	3%	0%	1%	3%
Pay Freeze/reduction	51%	63%	67%	45%	56%	60%	50%	61%	62%
Reduction in Training	13%	18%	19%	9%	13%	13%	11%	16%	14%
Redundancies	29%	37%	42%	13%	13%	18%	13%	18%	18%
Relocation	8%	10%	11%	8%	8%	13%	8%	10%	14%
Removal of specific budgets	13%	14%	17%	6%	8%	10%	7%	8%	10%
Re-prioritisation of elements of the service	28%	34%	41%	23%	26%	34%	28%	31%	44%
Restructuring/Reorganisation	40%	40%	51%	26%	25%	33%	25%	27%	33%
Sharing of services	16%	20%	26%	4%	5%	7%	1%	2%	2%
Tighter control on budgets	51%	58%	62%	49%	56%	55%	49%	58%	58%

Table J-044 – Cost Reduction Measures Used 2009/10 To 2011/12 – UK Responses

Question	Significantly improved	Slightly improved	Slightly reduced	Significantly reduced	No Impact
Staff Numbers	1%	3%	52%	11%	33%
Ability to improve business compliance	3%	14%	28%	5%	50%
Number of inspections	1%	7%	29%	12%	51%
Ability to comply with Food Law CoP	1%	5%	29%	6%	58%
Affect on consumer protection	2%	4%	33%	3%	58%
Amount and quality of training and development	2%	5%	27%	2%	64%
Number of Formal Enforcement actions	2%	13%	12%	1%	72%
Staff Retention	2%	6%	13%	2%	76%

Table J-045 – Significant Impact On Service Delivery Of Cost Reduction Measures – UK Responses

Change	Percentage					
	CA 2012/13	CA 2013/14	FH 2012/13	FH 2013/14	FS 2012/13	FS 2013/14
Centralisation of administration	**16%**	**16%**	**11%**	**14%**	**12%**	**14%**
Contracting out services	18%	16%	7%	7%	4%	4%
Cuts to service provided	31%	32%	15%	21%	16%	26%
Home Working	30%	29%	26%	31%	25%	29%
Hot Desking	29%	30%	23%	30%	27%	35%
Job re-grading	18%	15%	10%	11%	9%	11%
Limit to Travel Budget	19%	17%	18%	18%	20%	22%
Loss of allowances (e.g. car allowance)	13%	18%	10%	16%	10%	14%
Loss of Leave	3%	2%	1%	1%	1%	1%
Loss of posts	45%	40%	20%	22%	23%	28%
Loss of training posts	11%	11%	8%	9%	7%	10%
Mobile Working	29%	33%	24%	36%	26%	35%
Other	3%	3%	1%	2%	2%	2%
Pay Freeze/reduction	56%	43%	52%	42%	56%	43%
Reduction in Training	21%	23%	13%	18%	15%	22%
Redundancies	37%	35%	14%	14%	15%	19%
Relocation	13%	11%	10%	8%	9%	12%
Removal of specific budgets	18%	16%	8%	10%	10%	10%
Re-prioritisation of elements of the service	42%	46%	35%	43%	37%	46%
Restructuring/Reorganisation	46%	43%	29%	32%	31%	34%
Sharing of services	26%	27%	10%	14%	7%	16%
Tighter control on budgets	60%	60%	56%	59%	59%	61%

Table J-046 – Cost Reduction Measures Expected 2012/13 To 2013/14 – UK Responses

Question	Significantly improved	Slightly improved	Slightly reduced	Significantly reduced	No Impact	No Responses	Significantly improved	Slightly improved	Slightly reduced	Significantly reduced	No Impact
	Number of Responses						**Percentage of Responses**				
Ability to comply with Food Law Code of Practice		10	91	14	153	268	0%	4%	34%	5%	57%
Ability to improve business compliance	3	19	95	17	134	268	1%	7%	35%	6%	50%
Affect on consumer protection	2	9	93	12	151	267	1%	3%	35%	4%	57%
Amount and quality of training and development	1	6	99	14	147	267	0%	2%	37%	5%	55%
Number of Formal Enforcement actions	1	20	54	8	184	267	0%	7%	20%	3%	69%
Number of Inspections		13	118	18	120	269	0%	5%	44%	7%	45%
Staff Numbers		7	109	12	137	265	0%	3%	41%	5%	52%
Staff Retention	2	8	45	6	118	179	1%	4%	25%	3%	66%

Table J-047 – Cost Reduction Impact On Services Expected 2012/13 To 2013/14 – UK Responses

Impact	Sum of Weighted Ranks	Rank
Ability to comply with Food Law CoP	561	3
Impact on Formal Enforcement	449	6
Impact on Number of Inspections	671	1
Impact on outcomes (eg consumer protection, business compliance)	550	4
Impact on Staff Resources	647	2
Impact on Staff Retention	350	7
Impact on the amount and quality of Training and Development	467	5

Table J-048 – Ranking Of Impact On Services Expected 2012/13 To 2013/14 – UK Responses

								% Total (ex N/A)			
Question	Strongly Agree	Moderately Agree	Moderately Disagree	Strongly Disagree	Not Applicable	Total	Total (ex N/A)	Strongly Agree	Moderately Agree	Moderately Disagree	Strongly Disagree
Food Standards and/or Hygiene are a high strategic priority with the authority.	78	124	65	37	1	305	304	26%	41%	21%	12%
Food lead is involved in the setting of strategic priorities for the authority.	65	93	49	90	9	306	297	22%	31%	16%	30%
Food Service plans take into account FSA strategic priorities.	211	84	3	2	6	306	300	70%	28%	1%	1%
Service Plans are driven by the need to protect consumers in relation to risk from food.	252	39	6	2	6	305	299	84%	13%	2%	1%
Food Service plans take into account previous year's performance.	229	62	8	1	6	306	300	76%	21%	3%	0%
Food Service plans are reviewed by elected members.	167	80	23	21	14	305	291	57%	27%	8%	7%
Food Service plans take levels of business compliance into account.	217	73	7	2	6	305	299	73%	24%	2%	1%
Service Plans are driven by the need to implement the provisions of the Food Law Code of Practice.	217	62	16	5	5	305	300	72%	21%	5%	2%
Service Plans are driven by the need to meet the service planning guidance in the framework agreement.	204	72	17	7	5	305	300	68%	24%	6%	2%
The food services budget takes into account forecasts of the changes in demand for the services e.g. business growth and population growth.	29	101	86	67	20	303	283	10%	36%	30%	24%
The food services budget is set to ensure that all obligations under the Food Law Code of Practice are met.	94	99	55	37	18	303	285	33%	35%	19%	13%
Food Hygiene budget is set by someone with food hygiene expertise.	85	64	49	61	38	297	259	33%	25%	19%	24%
Food Standards budget is set by someone with food standards expertise.	42	34	34	41	140	291	151	28%	23%	23%	27%

	Strongly Agree	Moderately Agree	Moderately Disagree	Strongly Disagree	Not Applicable	Total	Total (ex N/A)	% Total (ex N/A)			
Question								Strongly Agree	Moderately Agree	Moderately Disagree	Strongly Disagree
The manager responsible for Food Services is able to influence the budget level by negotiating with the budget holder.	105	100	36	41	18	300	282	37%	35%	13%	15%
Changes in the Food Services budget are in proportions to the overall changes to LA budgets.	85	127	43	26	17	298	281	30%	45%	15%	9%
Once set the food services budget does not change during the financial year.	103	100	51	28	16	298	282	37%	35%	18%	10%
Expenditure in my area closely reflects the budget allocated at the start of the year.	160	110	10	2	15	297	282	57%	39%	4%	1%
The budget setting process is bottom-up with what is required dictating financial budget.	24	78	56	119	16	293	277	9%	28%	20%	43%
The budget setting process is top-down with the service plan limited by the available budget.	95	96	53	38	16	298	282	34%	34%	19%	13%
In-year budget savings are often required.	62	87	60	73	17	299	282	22%	31%	21%	26%
The budget has contingency to deal with increases in incidents and/or prosecutions.	60	109	61	56	13	299	286	21%	38%	21%	20%

Table J-049 – Priorities, Planning and Budget Perceptions – UK Responses

Question Number	Question Topic	Response Rate by Question
1	Country Selected	100.0%
2	Authority Type	100.0%
3	Authority Selected	100.0%
4	FSA Contact	100.0%
5	Responding Authority	5.0%
6	Responding of Behalf of	3.5%
7	Food Hygiene or Food Standards	100.0%
8	Grades	99.4%
9	Food Lead - Food Hygiene	99.7%
10	Food Lead - Food Standards	100.0%
11	Primary Authority	100.0%
12	Home Authority	99.7%
13	Uploading Org Chart	54.4%
14	FH Directorate	99.0%
15	FH Directorate Groups	95.3%
16	FH Group	93.9%
17	FH Group Services	92.6%
18	Uploading Org Chart	44.2%
19	FS Directorate	100.0%
20	FS Directorate Groups	93.6%
21	FS Group	93.6%
22	FS Group Services	88.4%
23 & 24	FH Responsibilites	92.9%
25 & 26	FS Responsibilities	92.4%
27	OC Priority	97.8%
28	FH Staff Profiles - Skills & Competence	97.0%
28	FH Staff Profiles - Typical experience	97.3%
28	FH Staff Profiles - Min Qualifications	98.0%
29	FH Pay Range	86.5%
30	FH Activity by Grade	91.6%
31	FH Joint Working	97.3%
33	FH Delegation - Change Experience	97.0%
35	FH Delegation - Change Qualification	95.6%
37	FH Delegation - Future Changes	94.9%
39	Food Hygiene - Staff Numbers	97.6%
40	Food Hygiene - Admin Staff	84.5%
41	FS Staff Profiles - Skills & Competence	85.5%
41	FS Staff Profiles - Minimum Qualification	88.4%
41	FS Staff Profiles - Typical experience	88.4%
42	FS Pay Range	69.8%
43	FS Activity by Grade	80.2%
44	FS Joint Working	93.6%
46	FS Delegation - Change Experience	89.5%
48	FS Delegation - Change Qualification	89.5%
50	FS Delegation - Future Changes	89.5%
52	Food Standards - Staff Number	87.2%
53	Food Standards - Admin Staff Number	68.6%
54	Number of Posts	89.0%
55	Formal Auth OC	98.7%

56	Formal Auth OC	97.2%
57	Support CPD	98.7%
59	Training	97.5%
60	FH Training Places	90.2%
61	FH Training Places - Funded by	64.2%
62	FS Training Places	85.5%
63	FS Training Places - funded by	59.9%
64	FH Budget Level	98.0%
65	FS Budget Level	98.8%
66	FH Budget (includes budgets set at higher levels & partial responses)	80.4%
67	FH Budget Items (includes budgets set at higher levels & partial responses)	63.5%
69	FS Budget (includes budgets set at higher levels & partial responses)	48.8%
70	FS Budget Items (includes budgets set at higher levels & partial responses)	31.4%
72 - 74	Views on Plans & Budgets	96.5%
75	External Funding	90.9%
77	Joint Working	96.2%
78	Upload Service Plan Document	45.1%
79	Enforcement Policy	97.8%
80	Alternative Enforcement Policy	82.0%
81	Alternative Enforcement Policy Uploaded	20.5%
82	Approved Premises	88.6%
83	Service Delivery	97.2%
84	Rating System	70.0%
85	Volumes	75.7%
86	Busines Advice & Education	88.6%
87	Internal Audit	88.0%
88 - 91	Out of Hours	94.0%
92	Significant Change to Budget	97.2%
93	Percentage Change to Budget	49.2%
94	Changes to date	90.2%
95	Impact of changes	88.6%
96	Future changes	86.1%
97	Impact of future changes	85.2%
98	Impact Ranking	43.2%

Table J-050 – Response Rates per Question (% of respondents answering a question)

Question	Significantly improved	Slightly improved	Slightly reduced	Significantly reduced	No Impact
Ability to comply with Food Law CoP	1%	5%	29%	6%	58%
Ability to improve business compliance	3%	14%	28%	5%	50%
Affect on consumer protection	2%	4%	33%	3%	58%
Amount and quality of training and development	2%	5%	27%	2%	64%
Number of Formal Enforcement actions	2%	13%	12%	1%	72%
Number of inspections	1%	7%	29%	12%	51%
Staff Numbers	1%	3%	52%	11%	33%
Staff Retention	2%	6%	13%	2%	76%

Table J-051 – Historic Impact of Budget Cuts - UK

Question	Significantly improved	Slightly improved	Slightly reduced	Significantly reduced	No Impact
Ability to comply with Food Law CoP	2%	4%	33%	8%	54%
Ability to improve business compliance	4%	13%	31%	6%	47%
Affect on consumer protection	2%	3%	37%	3%	55%
Amount and quality of training and development	2%	4%	29%	2%	63%
Number of Formal Enforcement actions	2%	14%	12%	2%	69%
Number of inspections	1%	7%	30%	15%	47%
Staff Numbers	1%	2%	56%	13%	28%
Staff Retention	2%	7%	15%	3%	73%

Table J-052 – Historic Impact of Budget Cuts - England

Question	Significantly improved	Slightly improved	Slightly reduced	Significantly reduced	No Impact
Ability to comply with Food Law CoP	0%	21%	29%	4%	46%
Ability to improve business compliance	0%	25%	33%	4%	38%
Affect on consumer protection	4%	13%	42%	4%	38%
Amount and quality of training and development	0%	17%	29%	4%	50%
Number of Formal Enforcement actions	4%	17%	13%	0%	67%
Number of inspections	0%	8%	38%	0%	54%
Staff Numbers	0%	8%	71%	4%	17%
Staff Retention	0%	5%	10%	0%	86%

Table J-053 – Historic Impact of Budget Cuts - Scotland

Question	Significantly improved	Slightly improved	Slightly reduced	Significantly reduced	No Impact
Ability to comply with Food Law CoP	0%	0%	0%	0%	100%
Ability to improve business compliance	0%	6%	6%	0%	88%
Affect on consumer protection	0%	6%	6%	0%	88%
Amount and quality of training and development	0%	0%	0%	0%	100%
Number of Formal Enforcement actions	0%	6%	0%	0%	94%
Number of inspections	0%	6%	0%	0%	94%
Staff Numbers	0%	13%	31%	0%	56%
Staff Retention	7%	7%	7%	0%	80%

Table J-054 – Historic Impact of Budget Cuts - Wales

Question	Significantly improved	Slightly improved	Slightly reduced	Significantly reduced	No Impact
Ability to comply with Food Law CoP	0%	5%	9%	0%	86%
Ability to improve business compliance	5%	14%	9%	0%	73%
Affect on consumer protection	0%	5%	9%	0%	86%
Amount and quality of training and development	5%	5%	27%	5%	59%
Number of Formal Enforcement actions	0%	0%	14%	0%	86%
Number of inspections	0%	5%	23%	9%	64%
Staff Numbers	0%	0%	14%	0%	86%
Staff Retention	0%	0%	6%	0%	94%

Table J-055 – Historic Impact of Budget Cuts – Northern Ireland

Question	Significantly improved	Slightly improved	Slightly reduced	Significantly reduced	No Impact
Ability to comply with Food Law CoP	2%	3%	25%	1%	69%
Ability to improve business compliance	4%	17%	24%	1%	54%
Affect on consumer protection	2%	3%	24%	2%	69%
Amount and quality of training and development	2%	5%	19%	1%	73%
Number of Formal Enforcement actions	2%	12%	11%	2%	73%
Number of inspections	2%	8%	24%	6%	60%
Staff Numbers	1%	2%	48%	9%	40%
Staff Retention	2%	4%	9%	2%	83%

Table J-056 – Historic Impact of Budget Cuts – Food Hygiene Only

Question	Significantly improved	Slightly improved	Slightly reduced	Significantly reduced	No Impact
Ability to comply with Food Law CoP	0%	0%	42%	26%	32%
Ability to improve business compliance	0%	6%	28%	22%	44%
Affect on consumer protection	0%	0%	50%	17%	33%
Amount and quality of training and development	0%	0%	37%	5%	58%
Number of Formal Enforcement actions	0%	16%	16%	0%	68%
Number of inspections	0%	0%	17%	56%	28%
Staff Numbers	0%	0%	68%	26%	5%
Staff Retention	0%	6%	25%	6%	63%

Table J-057 – Historic Impact of Budget Cuts – Food Standards Only

Question	Significantly improved	Slightly improved	Slightly reduced	Significantly reduced	No Impact
Ability to comply with Food Law CoP	1%	8%	31%	9%	51%
Ability to improve business compliance	3%	13%	31%	6%	47%
Affect on consumer protection	2%	6%	40%	2%	50%
Amount and quality of training and development	2%	6%	34%	3%	55%
Number of Formal Enforcement actions	2%	13%	12%	2%	71%
Number of inspections	1%	6%	34%	13%	46%
Staff Numbers	1%	5%	54%	10%	30%
Staff Retention	3%	8%	15%	2%	72%

Table J-058 – Historic Impact of Budget Cuts – Both Food Hygiene and Food Standards

Question	Significantly improved	Slightly improved	Slightly reduced	Significantly reduced	No Impact
Ability to comply with Food Law CoP	0%	4%	34%	5%	57%
Ability to improve business compliance	1%	7%	35%	6%	50%
Affect on consumer protection	1%	3%	35%	4%	57%
Amount and quality of training and development	0%	2%	37%	5%	55%
Number of Formal Enforcement actions	0%	7%	20%	3%	69%
Number of inspections	0%	5%	44%	7%	45%
Staff Numbers	0%	3%	41%	5%	52%
Staff Retention	1%	4%	25%	3%	66%

Table J-059 – Future Impact of Budget Cuts - UK

Question	Significantly improved	Slightly improved	Slightly reduced	Significantly reduced	No Impact
Ability to comply with Food Law CoP	0%	4%	37%	6%	54%
Ability to improve business compliance	1%	7%	37%	8%	47%
Affect on consumer protection	0%	3%	38%	5%	53%
Amount and quality of training and development	0%	2%	38%	6%	53%
Number of Formal Enforcement actions	0%	8%	22%	4%	66%
Number of inspections	0%	4%	46%	7%	42%
Staff Numbers	0%	2%	41%	5%	51%
Staff Retention	1%	6%	27%	4%	62%

Table J-060 – Future Impact of Budget Cuts - England

Question	Significantly improved	Slightly improved	Slightly reduced	Significantly reduced	No Impact
Ability to comply with Food Law CoP	0%	8%	33%	4%	54%
Ability to improve business compliance	0%	13%	42%	4%	42%
Affect on consumer protection	0%	8%	38%	4%	50%
Amount and quality of training and development	0%	4%	42%	0%	54%
Number of Formal Enforcement actions	0%	13%	17%	0%	71%
Number of inspections	0%	4%	46%	4%	46%
Staff Numbers	0%	4%	58%	4%	33%
Staff Retention	0%	0%	40%	0%	60%

Table J-061 – Future Impact of Budget Cuts - Scotland

Question	Significantly improved	Slightly improved	Slightly reduced	Significantly reduced	No Impact
Ability to comply with Food Law CoP	0%	0%	14%	0%	86%
Ability to improve business compliance	0%	0%	7%	0%	93%
Affect on consumer protection	7%	0%	0%	7%	87%
Amount and quality of training and development	0%	0%	7%	0%	93%
Number of Formal Enforcement actions	0%	0%	0%	0%	100%
Number of inspections	0%	0%	14%	0%	86%
Staff Numbers	0%	8%	23%	0%	69%
Staff Retention	9%	0%	0%	0%	91%

Table J-062 – Future Impact of Budget Cuts - Wales

Question	Significantly improved	Slightly improved	Slightly reduced	Significantly reduced	No Impact
Ability to comply with Food Law CoP	0%	0%	20%	5%	75%
Ability to improve business compliance	0%	5%	30%	0%	65%
Affect on consumer protection	0%	0%	20%	0%	80%
Amount and quality of training and development	0%	0%	45%	5%	50%
Number of Formal Enforcement actions	0%	5%	20%	0%	75%
Number of inspections	0%	15%	35%	10%	40%
Staff Numbers	0%	5%	30%	0%	65%
Staff Retention	0%	0%	12%	0%	88%

Table J-063 – Future Impact of Budget Cuts – Northern Ireland

Question	Significantly improved	Slightly improved	Slightly reduced	Significantly reduced	No Impact
Ability to comply with Food Law CoP	0%	6%	30%	2%	61%
Ability to improve business compliance	2%	10%	32%	5%	52%
Affect on consumer protection	1%	4%	27%	3%	65%
Amount and quality of training and development	0%	3%	31%	4%	62%
Number of Formal Enforcement actions	1%	10%	14%	3%	72%
Number of inspections	0%	5%	46%	2%	47%
Staff Numbers	0%	2%	34%	3%	60%
Staff Retention	2%	5%	28%	2%	62%

Table J-064 – Future Impact of Budget Cuts – Food Hygiene Only

Question	Significantly improved	Slightly improved	Slightly reduced	Significantly reduced	No Impact
Ability to comply with Food Law CoP	0%	0%	50%	6%	44%
Ability to improve business compliance	0%	6%	44%	6%	44%
Affect on consumer protection	0%	6%	39%	6%	50%
Amount and quality of training and development	0%	0%	50%	6%	44%
Number of Formal Enforcement actions	0%	0%	17%	0%	83%
Number of inspections	0%	0%	44%	11%	44%
Staff Numbers	0%	6%	61%	0%	33%
Staff Retention	0%	0%	27%	0%	73%

Table J-065 – Future Impact of Budget Cuts – Food Standards Only

Question	Significantly improved	Slightly improved	Slightly reduced	Significantly reduced	No Impact
Ability to comply with Food Law CoP	0%	2%	35%	8%	55%
Ability to improve business compliance	1%	5%	38%	8%	48%
Affect on consumer protection	1%	2%	42%	6%	49%
Amount and quality of training and development	1%	2%	41%	6%	50%
Number of Formal Enforcement actions	0%	7%	27%	3%	63%
Number of inspections	0%	6%	42%	10%	42%
Staff Numbers	0%	2%	45%	7%	46%
Staff Retention	0%	5%	22%	5%	69%

Table J-066 – Future Impact of Budget Cuts – Both Food Hygiene and Food Standards

Appendix K - Glossary and Abbreviations

Abbreviation	Phrase	Meaning
CA	Competent Authority	The bodies tasked with those aspects of feedstuff and food safety delegated by the CCA. The UK this is primarily the LAs and PHAs.
CCA	Central Competent Authority	The central government body tasked with overall delivery of feedstuff and food safety – in the UK this is the FSA.
CIPFA	Chartered Institute of Public Finance and Accountancy	A body which, among other things, undertakes data collection and defines standards for data collection for central and local government.
CoP	Food Law Code of Practice	The primary framework for the delivery of OCs in the UK. Drawn up by FSA, it sets down the required levels of activity and risk assessment, providing the framework which LAs and PHAs use to plan their food safety work.
CSR	Comprehensive Spending Review	The government review of expenditure which, in the current round, has led to reductions in funding for local government
DCLG	Department for Communities and Local Government	The central government department which is responsible for policy and core funding LAs in the UK.
FBO	Food Business Operator	The businesses preparing and sell food.
FH	Food Hygiene	That part of the food safety work that is focussed on ensuring that food is prepared, stored and delivered to the public in a way that monitors, manages and minimises risks of contamination or disease.
FS	Food Standards	That part of food safety work that deals with ensuring that food is properly labelled and conforms to local and national standards.

FSA	Food Standards Agency	The central body in the UK tasked with setting policy (in line with European Union Policy) for the safety of feedstuffs and food production and sale.
FTE	Full Time Equivalent	A measure of effort available to undertake work – the equivalent number of hours of resource as from a member of staff working full time for a year. A team may have a pool of, say, 5 FTE but choose to spread this across 5 or more members of staff, some working part time.
HMcM	Hartley McMaster Ltd	A specialist analytical consultancy, lead consultants for this project.
LA(s)	Local Authority	District Councils, County Councils, London Boroughs, Metropolitan Boroughs and Unitary Authorities. The type of council and range of local powers/services varies across the UK.
OC(s)	Official Control	The inspection and enforcement procedures and standards that are used to deliver feedstuff and food safety in the UK
PHA(s)	Port Health Authority	Bodies tasked with monitoring and managing the safety and quality of food and feedstuffs entering the UK by air or sea.
QV	Quo Vadis Consulting	Health and Environmental Health specialist consultancy, working with Hartley McMaster on this project.
RDOC	Review of the Delivery of Official Controls	A programme set up by FSA to look at the way in which LAs and PHAs deliver OCs, especially to see how they are coping at a time of financial cuts in LAs.
RPA	Review of Public Administration	A project in Northern Ireland, reviewing and changing the balance between central and local delivery of services for the province.