

## Knowledge and skills for the effective delivery of official food and feed controls and other activities



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# Section 1 - Introduction

Note: This is version 1 of the Competency Framework. It will currently only apply to lead officers, authorised officers and regulatory support officers in local authorities and port health authorities in England, Wales and Northern Ireland who undertake official food controls and other activities.

For consultation purposes, feed control activities have been included in this version of the framework, although they will be implemented at a later date separately to the local authority and port health authority food control activities.

## Status of the competency framework

- 1.1 The Competency Framework - referred to in this document as 'the framework' - sets out the competencies required for local authority and port health authority officers undertaking official food controls, other official activities and other activities related to these. These are in addition to the required suitable qualifications detailed in the relevant statutory Food Law Code of Practice. The Framework also sets out the process for assessing local authority and port health authority officer competency.
- 1.2 Local authorities and port health authorities in England, Wales and Northern Ireland are required to follow the framework in line with the requirements of the relevant statutory Food Law Code of Practice and associated Practice Guidance.

## Who is the framework for?

- 1.3 The framework applies to individuals in local authorities and port health authorities in England, Wales and Northern Ireland who undertake official food controls, other official activities and other activities related to these.
- 1.4 The framework is applicable to individuals being assessed for competency for the first time or on an ongoing basis, the frequency of which is detailed in the relevant Food Law Code of Practice and associated Practice Guidance.
- 1.5 We will further develop and implement the framework in due course in respect of official controls and other activities undertaken by the FSA, FSA delivery partners and by local authorities and port health authorities for feed controls.
- 1.6 We will also further develop the framework to cover formally recognised private sector assurance activities, for example FSA approved assurance schemes, that inform the targeting and frequency of local authority or FSA official controls.

## Aims of the framework

1.7 When fully implemented the framework will aim to:

- provide flexibility in what an individual can do by defining competency by activity rather than taking a role-based or profession-based approach
- improve consistency by setting a standard applicable to all individuals undertaking the activities
- facilitate the transfer and movement of individuals across the public and private sectors and from Scotland and other countries to the rest of the UK, by allowing the competencies for specific activities to be demonstrated through a wider range of methods
- increase transparency by establishing a clear and accessible framework to demonstrate the competency required for individuals carrying out these activities

## Development of the framework

1.8 We have developed the framework in collaboration with a Competency Reference Group. The Group comprises representatives from local authorities in England, Wales and Northern Ireland, professional bodies, private sector assurance bodies, FSA delivery partners, FSA Operations and educational providers.

## Review and revision of the framework

1.9 We will keep the framework under review and will revise and update it, as necessary and appropriate, to reflect the experience of users, and to align with technological and legislative developments and any changes to FSA policy.

## Further information

1.10 For further information please contact [competency@food.gov.uk](mailto:competency@food.gov.uk).

## Section 2 - Competencies

### Structure of the framework

- 2.1 The framework is activity based and the activities include official food controls, other official activities and other activities related to these. It describes the competencies required to undertake an activity, which are in addition to the required suitable qualification detailed in the relevant statutory Food Law Code of Practice.
- 2.2 As the framework is activity based, it does not refer to specific roles. The relevant Food Law Practice Guidance documents provide requirements for the Lead Officer and Regulatory Support Officer roles and includes a list of the specific activities within the framework that relate to them.
- 2.3 Each activity stands alone, which means an individual can be authorised to undertake one or multiple activities within the framework depending on their role. There is no expectation that an individual must be competent for all activities within the framework.
- 2.4 The activities within the framework have been grouped under the following five headings:
  - A - Common competencies
  - B - Intervention activities
  - C - Investigations, incidents and alerts activities
  - D - Enforcement activities
  - E - Specialist activities
- 2.5 There are seven common competencies, and these are relevant to all the activities in the framework. For example, one of the competencies is that individuals must be able to demonstrate knowledge and understanding of relevant legislation, codes of practice, guidance, policies and procedures applicable to the type of activity being undertaken.

- 2.6 The activity headings (other than A: Common competencies) are broken down into activities and, if required, sub-activities. Examples are shown below.

#### **Activity B4: Verification**

- No sub-activities

#### **Activity B5: Sampling**

- Sub-activity B5.1: Taking formal samples
- Sub-activity B5.2: Taking informal samples

- 2.7 All the common competencies, activities and sub-activities in the framework are listed at Annex 1.

## **Competencies**

- 2.8 The competencies in the framework are the knowledge and skills required to effectively deliver official food controls, other official activities and other activities related to these. The competencies for each activity are described in high level knowledge (knowledge and understanding of) and skills (ability to) statements, which individuals must be able to demonstrate before being authorised to undertake that activity.

2.9 For each high level knowledge or skill statement additional details describe what that statement requires in practice. Examples are given below.

Knowledge and understanding of:	When undertaking this activity an individual must demonstrate knowledge and understanding of:
<ul style="list-style-type: none"> <li>• Relevant legislation, codes of practice, guidance, policies and procedures</li> </ul>	<ul style="list-style-type: none"> <li>• The different types of legislation and how they are developed, including the role of the relevant legislatures</li> <li>• Relevant legislation, including significant case law and associated codes of practice, applicable to the business and/or the type of activity being undertaken</li> <li>• The frameworks applicable to the activity being undertaken, including, where relevant:             <ul style="list-style-type: none"> <li>– The Food Law Code of Practice and Practice Guidance</li> <li>– The Feed Law Code of Practice and Practice Guidance</li> <li>– The Feed Law Enforcement Guidance (Northern Ireland)</li> <li>– The Manual for Official Controls</li> </ul> </li> <li>• Relevant policies, procedures, plans, programmes and strategies applicable to the activity being undertaken</li> <li>• Relevant government guidance, including instructions and advice from the FSA, which are applicable to the business and/or activity being undertaken</li> <li>• Relevant industry guidance, including guides to good practice, which are applicable to the business and/or activity being undertaken</li> <li>• Relevant international guidance, which is applicable to the business and/or activity being undertaken</li> <li>• The process for sharing information with regulators in third countries</li> </ul>

Ability to:	When undertaking this activity an individual must demonstrate they are able to:
<ul style="list-style-type: none"> <li>Communicate effectively</li> </ul>	<ul style="list-style-type: none"> <li>Communicate with and influence appropriate persons, including businesses, consumers and other relevant individuals: <ul style="list-style-type: none"> <li>in a clear and effective manner, adapting communication style to suit person(s) being communicated with and the situation</li> <li>using suitable methods of communication, including the appropriate technology</li> </ul> </li> <li>Manage challenging conversations and situations in an objective manner</li> <li>Confirm or gather required information by using active listening and effective questioning techniques, making use of assistance and/or expert help where necessary</li> </ul>

2.10 The framework has been designed so that some knowledge and skills are not referenced specifically as they are either covered implicitly or by other knowledge and skills statements within the activity. Examples are given below.

#### Example 1: Knowledge covered implicitly

**A: Common competencies** requires individuals to be able to demonstrate the ability to “Record details of the activity undertaken on an appropriate IT system”.

The detailed knowledge statements for this common competency do not include reference to IT systems, as in order to demonstrate the skill of recording details on an appropriate IT system, the individual would need to have knowledge of how to use the IT system.

#### Example 2: Knowledge detailed in another statement within the activity

**B1: Inspecting businesses** requires individuals to be able to demonstrate the ability to “Generate an appropriate risk rating to inform the frequency of the next intervention, where applicable”.

This skills statement does not include reference to the relevant Food or Feed Law Codes of Practice and Practice Guidance, as the individual would not be able to generate the risk rating without drawing on that specific knowledge.

The **A: Common competencies** includes the requirement that individuals must demonstrate knowledge and understanding of “Relevant legislation, codes of practice, guidance, policies and procedures”, which includes knowledge of the relevant Codes of Practice and Practice Guidance applicable to B1: Inspecting businesses.

2.11 All the competencies in the framework are listed in Annex 2.



## Using the framework

- 2.12 The activities within the framework are designed to stand alone, which means an individual could be authorised for one or multiple activities depending on the requirements for their role.
- 2.13 Individuals must be able to demonstrate the common competencies and the competencies relating to a specific activity before they can be authorised to undertake the activity. Where sub-activities are detailed, the common competencies and the competencies for the specific activity and sub-activity must be demonstrated before an individual can undertake the sub-activity.
- 2.14 It will be for the individual and their employer to determine the activities and/or sub-activities within the framework they are required to be competent in. An example is provided below.

### Example

If an individual employed by a local authority was required to undertake food hygiene inspections, then as a minimum, the individual would be required to be competent in the following:

#### **A: Common competencies**

##### **Activity B1: Inspecting businesses**

- Sub-activity B1.1: Assessing business compliance with food hygiene legislation

If as part of the inspection, they were required to provide advice, assess the use of a vacuum packing process, assess products of animal origin intended to be eaten raw or less than thoroughly cooked and take a sample, the individual would also be required to be competent for the following activities or sub-activities:

##### **Activity B5: Sampling**

- Sub-activity B5.1: Taking formal samples
- Sub-activity B5.2: Taking informal samples

##### **Activity B6: Assessing products, labelling and other information**

- Sub-activity B6.1: Assessing food is safe and fit for human consumption

##### **Activity B7: Education, advice and coaching**

### **Activity E7: Assessing businesses using specific processing methods**

- Sub-activity E7.5: Vacuum packing

### **Activity E8: Assessing businesses producing specific products**

- Sub-activity E8.2: Products of animal origin intended to be eaten raw or less than thoroughly cooked

If during the inspection issues were identified which required investigation and/or enforcement action, then the following activities would also be relevant:

### **Activity C1: Reactive investigations**

### **Activity D1: Informal action**

### **Activity D2: Formal enforcement action**

- Sub-activity D2.1: Emergency prohibition procedures
- Sub-activity D2.2: Detaining, seizing and voluntary surrender of products

## Section 3 – Assessment of competency

- 3.1 We have now initiated work to consider the process for assessing competency under the framework and authorising individuals as competent and plan to consult on options for this in spring 2021.
- 3.2 In the interim, for local authorities and port health authorities, individuals will be required to meet the qualification requirements specified in the relevant Food Law Code of Practice. Competency should be assessed by lead food officers as detailed in the Food Law Practice Guidance.

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# Annex 1 – Activity headings

The common competencies, activities and sub-activities that make up the framework are listed below.

## A: Common competencies

This section includes 7 competencies that are relevant to all activities and sub-activities, which are:

### **Knowledge and understanding of:**

- Relevant legislation, codes of practice, guidance, policies and procedures
- The Primary Authority statutory scheme
- The individual's role and responsibilities when undertaking activities
- Other organisations that interact with businesses

### **Ability to:**

- Communicate effectively
- Review records and information provided during the activity
- Record details of the activity undertaken on an appropriate IT system

## B: Intervention activities

This section on intervention activities includes 11 activities and 20 sub-activities.

### **Activity B1: Inspecting businesses**

Activity B1 covers the full and partial inspection of food and/or feed businesses to verify compliance with applicable legal requirements.

#### **Sub-activity B1.1: Assessing business compliance with food hygiene legislation**

Sub-activity B1.1 covers assessing food businesses compliance with relevant food hygiene legislation as part of an inspection.

#### **Sub-activity B1.2: Assessing business compliance with food standards legislation**

Sub-activity B1.2 covers assessing food businesses compliance with relevant food standards legislation as part of an inspection.

### Sub-activity B1.3: Assessing business compliance with food hygiene and feed legislation at primary production

Sub-activity B1.3 covers assessing food and/or feed businesses at the level of primary production compliance with relevant food hygiene and/or feed legislation as part of an inspection.

It does not cover:

- the approval of producers of sprouts and seeds intended for sprouting, which is covered in activity E9: Approval of businesses; or
- the review of the approval of producers of sprouts and seeds intended for sprouting, which is covered in activity E9: Approval of businesses

### Sub-activity B1.4: Assessing business compliance with feed legislation

Sub-activity B1.4 covers assessing feed businesses compliance with relevant feed legislation as part of an inspection.

### Sub-activity B1.5: Assessing business compliance with legislation remotely

Sub-activity B1.5 covers assessing food and/or feed businesses compliance with relevant food and/or feed legislation as part of an inspection conducted away from the business, including those conducted using remote technology.

## Activity B2: Auditing

Activity B2 covers the full or partial audit of food and feed businesses to determine whether their food safety, feed safety or quality assurance systems are suitable and have been implemented effectively.

### Sub-activity B2.1: Food hygiene audits

Sub-activity B2.1 covers auditing food businesses to determine whether their food safety management system is suitable and has been implemented effectively.

### Sub-activity B2.2: Food standards audits

Sub-activity B2.2 covers auditing food businesses to determine whether their food safety management system and/or food quality assurance system is suitable and has been implemented effectively in relation to food standards.

### Sub-activity B2.3: Primary production audits

Sub-activity B2.3 covers auditing food and/or feed businesses at the level of primary production to determine whether their food and/or feed safety management system is suitable and have been implemented effectively.

It does not cover:

- the approval of producers of sprouts and seeds intended for sprouting, which is covered in activity E9: Approval of businesses; or
- the review of the approval of producers of sprouts and seeds intended for sprouting, which is covered in activity E9: Approval of businesses

#### Sub-activity B2.4: Feed audits

Sub-activity B2.4 covers auditing feed businesses to determine whether their feed safety management system is suitable and has been implemented effectively.

#### Sub-activity B2.5: Remote audits

Sub-activity B2.5 covers auditing food and/or feed businesses to determine whether their food safety, feed safety or quality assurance system is suitable and has been implemented effectively when away from the business, including those conducted using remote technology.

### Activity B3: Validation

Activity B3 covers assessing the validation undertaken by food and/or feed businesses of their food safety, feed safety or quality assurance systems to determine whether the system is suitable and prevents, eliminates or reduces hazards to acceptable limits.

#### Sub-activity B3.1: Assessing the validation of food safety management systems

Sub-activity B3.1 covers assessing the validation undertaken by food businesses of their food safety management systems.

#### Sub-activity B3.2: Assessing the validation of quality assurance systems

Sub-activity B3.2 covers assessing the validation undertaken by food and/or feed businesses of their quality assurance systems.

#### Sub-activity B3.3: Assessing the validation of feed safety management systems

Sub-activity B3.3 covers assessing the validation undertaken by feed businesses of their feed safety management systems.

### Activity B4: Verification

Activity B4 covers assessing the verification undertaken by food and/or feed businesses of their food safety, feed safety or quality assurance systems to determine whether the system has been effectively implemented to ensure ongoing fitness for purpose.

There are no sub-activities for B4.

### Activity B5: Sampling

Activity B5 covers taking any samples relevant to food and/or feed to verify compliance with applicable legislation, including at points of entry.

It does not cover:

- sampling for information gathering purposes, which is covered in activity B8: Information gathering; or
- shellfish environmental sampling, which is covered by activity E6: Shellfish environmental monitoring

### Sub-activity B5.1: Taking formal samples

Sub-activity B5.1 covers the taking of formal food and/or feed samples in accordance with relevant legislation.

### Sub-activity B5.2: Taking informal samples

Sub-activity B5.2 covers taking informal food and/or feed samples.

It does not cover:

- sampling for information gathering purposes, which is covered in activity B8: Information gathering.

## Activity B6: Assessing products, labelling and other information

Activity B6 covers assessing food and/or feed products, labelling or other information to determine whether it complies with applicable legislation.

### Sub-activity B6.1: Assessing whether food products are safe and fit for human consumption

Sub-activity B6.1 covers identifying food and determining whether it is safe and fit for human consumption.

### Sub-activity B6.2: Assessing whether food is of the nature, substance or quality demanded by the consumer

Sub-activity B6.2 covers the assessment of food supplied and/or sold by businesses to determine whether it is of the nature, substance or quality demanded by the consumer.

### Sub-activity B6.3: Assessing product labelling and information

Sub-activity B6.3 covers the assessment of food and/or feed product labelling, advertising and other information, including information provided online, to determine whether it complies with applicable legal requirements.

### Sub-activity B6.4: Assessing whether feed is safe, unadulterated and fit for its purpose

Sub-activity B6.4 covers the assessment of feed supplied and/or sold by businesses to determine whether it is safe, unadulterated and fit for its purpose.

## Activity B7: Education, advice and coaching

Activity B7 covers providing education, advice or coaching to food and/or feed businesses about compliance with applicable legislation and/or good practice. This could be provided during an intervention or separately, for example, a training course, including those which are charged for. It also includes advice to consumers.

There are no sub-activities for B7.

## Activity B8: Information gathering

Activity B8 covers gathering information about food and/or feed businesses or products, including sampling for information gathering purposes.

### Sub-activity B8.1: Gathering, processing and sharing intelligence

Sub-activity B8.1 covers the gathering, processing and sharing of intelligence with appropriate persons using suitable methods.

### Activity B9: Monitoring

Activity B9 covers conducting a planned sequence of assessments to determine compliance of food and/or feed businesses with applicable legislation.

It does not cover:

- internal monitoring, which is covered in activity E1.1: Developing, implementing, monitoring and reviewing internal operational documents; or
- covert surveillance, which is covered by activity C1: Reactive investigations

There are no sub-activities for B9.

### Activity B10: Surveillance

Activity B10 covers conducting planned or reactive interventions to determine compliance of a food and/or feed businesses with applicable legislation.

It does not cover:

- covert surveillance, which is covered in activity C1: Reactive investigations.

There are no sub-activities for B10.

### Activity B11: Alternative interventions

Activity B11 covers conducting alternative interventions of low risk food businesses, for example sending questionnaires or surveys to businesses.

There are no sub-activities for B11.

## C: Investigations, incidents and alerts

This section on investigations, incidents and alerts includes 1 activity and 4 sub-activities.

### Activity C1: Reactive investigations

Activity C1 covers conducting reactive investigations into the compliance of food and/or feed businesses (including online businesses) with legislation. It includes investigations following an intervention, a complaint or receipt of other intelligence.

#### Sub-activity C1.1: Preparing investigation files

Sub-activity C1.1 covers the preparing of an investigation file or record as part of a reactive investigation, including the taking of witness statements and participating in interviews of suspects.

It does not cover:

- the preparation of prosecution files, which is covered under sub-activity D3.1: Preparing prosecution files.



### Sub-activity C1.2: Investigating food fraud and food crime

Sub-activity C1.2 covers the investigation of food fraud and food crime, including the role of the National Food Crime Unit.

### Sub-activity C1.3: Investigating cases of food-borne illness

Sub-activity C1.3 covers investigating cases of food-borne illness, including outbreaks and the role of public health agencies.

### Sub-activity C1.4: Investigating and reporting incidents and receipt of alerts

Sub-activity C1.4 covers the investigation and reporting of food and/or feed incidents and the receipt of food and/or feed alerts.

## D: Informal action and enforcement

This section on informal action and enforcement includes 3 activities and 3 sub-activities.

### Activity D1: Informal action

Activity D1 covers informal action and voluntary procedures that may be used where issues are identified in food and/or feed businesses, including written warnings.

It does not cover:

- voluntary prohibitions and closures, which is covered in sub-activity D2.1: Emergency prohibition procedures; or
- voluntary surrender of products, which is covered in sub-activity D2.2: Detaining, seizing and voluntary surrender of products

There are no sub-activities for D1.

### Activity D2: Formal enforcement action

Activity D2 covers formal enforcement action that may be taken against a person in control of a food and/or feed business or the business itself where issues are identified, including use of formal notices.

#### Sub-activity D2.1: Emergency prohibition procedures

Sub-activity D2.1 covers the use of formal emergency prohibition notices that may be served on a food and/or feed business, including the process for obtaining an order. It also covers the use of voluntary prohibitions and closures.

#### Sub-activity D2.2: Detaining, seizing and voluntary surrender of products

Sub-activity D2.2 covers the detention and seizure of food and/or feed and the process for having it condemned. It also covers the voluntary surrender of food and/or feed.

## Activity D3: Prosecuting

Activity D3 covers the legal process of prosecutions, including giving evidence in court.

### Sub-activity D3.1: Preparing prosecution files

Sub-activity D3.1 covers the preparation of prosecution files including reviewing evidence, non-evidential materials and information for disclosure purposes.

It does not cover:

- the preparation of investigation files, which is covered under sub-activity C1.1: Preparing investigation files.

## E: Specialist activities

This section on specific specialist activities includes 9 activities and 67 sub-activities.

### Activity E1: Operational management

Activity E1 covers operational management activities including developing of operational documents, managing responses to incidents or alerts and reporting of data to regulators and other organisations.

#### Sub-activity E1.1: Developing, implementing, monitoring and reviewing internal operational documents

Sub-activity E1.1 covers the development, implementation, monitoring and review of internal documented policies, procedures, plans, programmes and strategies.

#### Sub-activity E1.2: Management of the response to an incident and alert

Sub-activity E1.2 covers the coordination and direction of the response to a food and/or feed incident or alert.

#### Sub-activity E1.3: Collating and reporting data

Sub-activity E1.3 covers the collation and reporting of data to regulators and other organisations.

### Activity E2: Import controls

Activity E2 covers import controls conducted at points of entry and inland.

#### Sub-activity E2.1: Import controls at points of entry

Sub-activity E2.1 covers import controls conducted at points of entry for:

- products of animal origin
- high risk food and feed not of animal origin
- high risk food contact materials

#### Sub-activity E2.2: Import controls for fishery products

Sub-activity E2.2 covers import controls conducted on fishery products and live bivalve molluscs at points of entry.

### Sub-activity E2.3: Inland import controls

Sub-activity E2.3 covers the assessment of imported food and/or feed products inland to determine whether they comply with applicable legal requirements.

### Activity E3: Export controls

Activity E3 covers the assessment of export certification for food and/or feed.

It does not apply to individuals issuing Official Export Health Certificates on behalf of the Animal and Plant Health Agency (APHA) or the Department of Agriculture, Environment and Rural Affairs (DAERA), who are responsible for the competency requirements for this type of certification.

There are no sub-activities for E3.

### Activity E4: Assessing industry assurance of compliance

Activity E4 covers the verification of a business's own data obtained for assurance of compliance – business assurance data – and other compliance data where this is relevant. This includes Primary Authority assessment of business assurance data as part of a national inspection strategy.

It does not apply to business data for assessing earned recognition.

There are no sub-activities for E4.

### Activity E5: Supporting and contributing to external audits

Activity E5 covers supporting and contributing to external audits of internal policies and procedures, including audits conducted by the Food Standards Agency, other authorities, international organisations and other countries.

There are no sub-activities for E5.

### Activity E6: Shellfish environmental monitoring

Activity E6 covers the taking of shellfish samples for environmental monitoring of classified shellfish production and relaying areas.

There are no sub-activities for E6.

### Activity E7: Assessing businesses using specific processing methods

Activity E7 covers the assessment of specific complex and/or high-risk processing methods used by food businesses.

#### Sub-activity E7.1: Canning

Canning is the process of placing food into containers and securely sealing them.

#### Sub-activity E7.2: Aseptic packing

Aseptic packing is the process of producing and packing foods under sterile conditions.

### Sub-activity E7.3: Pasteurisation and sterilisation

Pasteurisation and sterilisation is the process of heat treating foods to specific temperatures.

### Sub-activity E7.4: Cook-chill

Cook-chill is the process of large scale cooking, rapid cooling and controlled chilled storage of food.

### Sub-activity E7.5: Vacuum packing and modified atmosphere packaging

Vacuum packing is the process of packing food to remove air from the packaging prior to creating an airtight seal.

Modified atmosphere packaging is the process of packing food with a mixture of gases to reduce the level of oxygen.

### Sub-activity E7.6: Sous vide

Sous vide is the process of cooking food at low temperatures for long periods.

### Sub-activity E7.7: Air drying

Air drying is the process of removing water from food.

### Sub-activity E7.8: Freeze drying

Freeze drying is the process of freezing food and applying a vacuum to it to remove the water.

### Sub-activity E7.9: Cold smoking

Cold smoking is the process of flavouring or preserving food by exposing it to smoke at low temperatures.

### Sub-activity E7.10: Depuration

Depuration is the process of purification where filter feeding shellfish are placed into a clean water environment to remove biological and physical hazards.

## Activity E8: Assessing businesses producing specific products

Activity E8 covers the assessment of specific high-risk products.

### Sub-activity E8.1: Ready-to-eat food produced by manufacturers

Foods that will not be cooked or reheated before being eaten, which have been produced by manufacturers.

### Sub-activity E8.2: Products of animal origin intended to be eaten raw or less than thoroughly cooked

Products of animal origin intended to be eaten raw or less than thoroughly cooked, for example less than thoroughly cooked burgers.

### Sub-activity E8.3: Food produced using fermentation

Foods produced using fermentation, for example kimchi and kefir.

### Sub-activity E8.4: Raw pet food produced by manufacturers

Pet food that contains animal by products, which have not undergone any preserving process other than chilling or freezing, which have been produced by manufacturers.

## Activity E9: Approval of businesses

Activity E9 covers the approval of food and/or feed businesses and the review of their approvals.

If a business is exempt from approval for the sub-activities in E9: Approval of businesses, an individual must instead be able to demonstrate the competencies for:

- B1: Inspecting businesses; or
- B2: Auditing

### Sub-activities relating to meat

- Sub-activity E9.1 - Cutting plant: Bovine
- Sub-activity E9.2 - Cutting plant: Ovine
- Sub-activity E9.3 - Cutting plant: Caprine
- Sub-activity E9.4 - Cutting plant: Porcine
- Sub-activity E9.5 - Cutting plant: Horses
- Sub-activity E9.6 - Cutting plant: Chickens, hens and broilers
- Sub-activity E9.7 - Cutting plant: Turkeys
- Sub-activity E9.8 - Cutting plant: Ducks
- Sub-activity E9.9 - Cutting plant: Geese
- Sub-activity E9.10 - Cutting plant: Guinea fowl
- Sub-activity E9.11 - Cutting plant: Quails
- Sub-activity E9.12 - Cutting plant: Pigeons
- Sub-activity E9.13 - Cutting plant: Ostrich, rhea and emu
- Sub-activity E9.14 - Cutting plant: Large wild game
- Sub-activity E9.15 - Cutting plant: Small wild game
- Sub-activity E9.16 - Cutting plant: Farmed game
- Sub-activity E9.17 - Minced meat establishment: Production of minced meat
- Sub-activity E9.18 - Meat preparations establishment: Production of meat preparations
- Sub-activity E9.19 - Mechanically separated meat establishment: Production of mechanically separated meat
- Sub-activity E9.20 - Processing plant: Meat products (to be cooked before eating)
- Sub-activity E9.21 - Processing plant: Ready-to-eat meat products
- Sub-activity E9.22 - Processing plant: Rendered animal fats and greaves
- Sub-activity E9.23 - Processing plant: Treated stomach, bladders, intestines
- Sub-activity E9.24 - Processing plant: Gelatine

- Sub-activity E9.25 - Processing plant: Collagen
- Sub-activity E9.26 - Processing plant: Frogs' legs and snails

#### Sub-activities relating to fishery products and live bivalve molluscs

- Sub-activity E9.27 - Processing plant: Fishery products
- Sub-activity E9.28 - Factory vessel: Processing of fishery products on board the vessel
- Sub-activity E9.29 - Freezing vessel: Freezing of fishery products on board the vessel
- Sub-activity E9.30 - Fresh fishery products plant: Handling of unprocessed fishery products
- Sub-activity E9.31 - Auction hall: Storing and displaying of fishery products
- Sub-activity E9.32 - Dispatch centre: Reception, conditioning, washing, cleaning, grading, wrapping and packing, where applicable of:
  - live bivalve molluscs;
  - marine gastropods including whelks, winkles and abalones;
  - echinoderms including sea urchins, sea cucumbers; and
  - tunicates including sea squirts
- Sub-activity E9.33 - Purification centre: Purification of live bivalve molluscs

#### Sub-activities relating to milk and dairy products

- Sub-activity E9.34 - Processing plant: Raw milk
- Sub-activity E9.35 - Processing plant: Dairy products
- Sub-activity E9.36 - Collection centre: Collection of raw milk

#### Sub-activities relating to egg and egg products

- Sub-activity E9.37 - Processing plant: Egg products
- Sub-activity E9.38 - Packing centre: Eggs
- Sub-activity E9.39 - Liquid egg plant: Handling of unprocessed liquid egg

#### Sub-activities relating to products of animal origin

- Sub-activity E9.40 - Cold store: Storage of products of animal origin (processed or unprocessed)
- Sub-activity E9.41 - Re-wrapping/repackaging establishments: Re-wrapping and/or repackaging of products of animal origin (processed or unprocessed)
- Sub-activity E9.42 - Wholesale market: Shared space where product of animal origin is sold

#### Sub-activities relating to sprouts and seeds

- Sub-activity E9.43 - Producers of sprouts and seeds: Sprouts and seeds intended for sprouting

### Sub-activities relating to animal feed

- Sub-activity E9.44 - Manufacturers or businesses selling products within feed approval codes A1- A4: Relevant nutritional, zootechnical, antioxidant and colorant additives
- Sub-activity E9.45 - Manufacturers or businesses selling products within feed approval codes A5- A6: Relevant proteins from micro-organisms and co-products from the fermentation of amino acids
- Sub-activity E9.46 - Manufacturers or businesses selling products within feed approval codes A7- A8: Premixtures containing vitamins A or D, copper or selenium
- Sub-activity E9.47 - Manufacturers or businesses selling products within feed approval code A11: Products derived from vegetable oils and blended fats

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# Annex 2 – The competencies

## A - Common competencies

The Common competencies are applicable to all activities within the competency framework.

Individuals undertaking any activities or sub-activities within the competency framework must be able to demonstrate these common competencies for each of the activities or sub-activities they are required to undertake.

<b>Knowledge and understanding of:</b>	<b>When undertaking this activity an individual must demonstrate knowledge and understanding of:</b>
Relevant legislation, codes of practice, guidance, policies and procedures	<ul style="list-style-type: none"><li>• The different types of legislation and how they are developed, including the role of the relevant legislatures</li><li>• Relevant legislation, including significant case law and associated codes of practice, applicable to the business and/or the type of activity being undertaken</li><li>• The frameworks applicable to the activity being undertaken, including, where relevant:<ul style="list-style-type: none"><li>– The Food Law Code of Practice and Practice Guidance</li><li>– The Feed Law Code of Practice and Practice Guidance</li><li>– The Feed Law Enforcement Guidance (Northern Ireland)</li><li>– The Manual for Official Controls</li></ul></li><li>• Relevant policies, procedures, plans, programmes and strategies applicable to the activity being undertaken</li><li>• Relevant government guidance, including instructions and advice from the FSA, which are applicable to the business and/or activity being undertaken</li><li>• Relevant industry guidance, including guides to good practice, which are applicable to the business and/or activity being undertaken</li><li>• Relevant international guidance, which is applicable to the business and/or activity being undertaken</li><li>• The process for sharing information with regulators in third countries</li></ul>



<b>Knowledge and understanding of:</b>	<b>When undertaking this activity an individual must demonstrate knowledge and understanding of:</b>
The Primary Authority statutory scheme	<ul style="list-style-type: none"> <li>• Primary Authority, its legal status and how it is applied across the United Kingdom</li> <li>• The Primary Authority statutory guidance</li> <li>• The role of the primary authority, enforcing authorities, national regulators and the Secretary of State</li> <li>• Primary Authority Register, including how to check for partnerships, inspection plans and Primary Authority advice</li> <li>• Information to be sent to the primary authority, including inspection plan feedback and referral of notification of proposed enforcement action</li> <li>• The home authority principle and originating authority arrangements, including how they differ to Primary Authority</li> </ul>
The individual's role and responsibilities when undertaking activities	<ul style="list-style-type: none"> <li>• The scope of an individual's role, authorisation and legal or contractual powers when undertaking activities</li> <li>• An individual's responsibilities when undertaking activities, examples include: <ul style="list-style-type: none"> <li>– following good hygiene practices</li> <li>– recognising any actual or potential conflicts of interest they have with the business</li> <li>– maintaining confidentiality of business and consumer information in accordance with legal requirements</li> </ul> </li> </ul>
Other organisations that interact with businesses	<ul style="list-style-type: none"> <li>• The range of regulators, assurance schemes and other organisations that interact with businesses and their remits</li> <li>• The circumstances when it is appropriate to refer matters to these organisations and/or liaise with them, including how it should be done</li> </ul>

<b>Ability to:</b>	<b>When undertaking this activity an individual must demonstrate they are able to:</b>
Communicate effectively	<ul style="list-style-type: none"> <li>• Communicate with and influence appropriate persons, including businesses, consumers and other relevant individuals:               <ul style="list-style-type: none"> <li>– in a clear and effective manner, adapting communication style to suit person(s) being communicated with and the situation</li> <li>– using suitable methods of communication, including the appropriate technology</li> </ul> </li> <li>• Manage challenging conversations and situations in an objective manner</li> <li>• Confirm or gather required information by using active listening and effective questioning techniques, making use of assistance and/or expert help where necessary</li> </ul>
Review records and information provided during the activity	<ul style="list-style-type: none"> <li>• Assess whether records and information provided during the activity, whether verbal, written or electronic are suitable, sufficient and demonstrates compliance with legal requirements</li> </ul>
Record details of the activity undertaken on an appropriate IT system	<ul style="list-style-type: none"> <li>• Record on an appropriate IT system relevant details of the activity undertaken and if required, update business records</li> </ul>

## B - Intervention activities

### Activity B1: Inspecting businesses

Individuals undertaking the activity B1: Inspecting businesses must be able to demonstrate the competencies for:

- A: Common competencies; and
- B1: Inspecting businesses

There are also Inspecting businesses sub-activities covering:

- B1.1: Assessing business compliance with food hygiene legislation
- B1.2: Assessing business compliance with food standards legislation
- B1.3: Assessing business compliance with food hygiene and feed legislation at primary production
- B1.4: Assessing business compliance with feed legislation
- B1.5: Assessing business compliance with imported food and feed legislation
- B1.6: Assessing business compliance with legislation remotely

To undertake a B1: Inspecting businesses sub-activity, individuals must demonstrate the competencies for:

- A: Common competencies; and
- B1: Inspecting businesses; and
- the specific sub-activity

#### B1: Inspecting businesses

Activity B1 covers the full and partial inspection of food and/or feed businesses to verify compliance with applicable legal requirements.

Knowledge and understanding of:	When undertaking this activity an individual must demonstrate knowledge and understanding of:
The technologies and processes used by businesses	<ul style="list-style-type: none"><li>• Common process methods and technologies used by businesses, including the hazards and risks associated with them. There are competencies for specific high-risk and/or complex processes in activity E7.</li></ul>
The outcomes of an inspection	<ul style="list-style-type: none"><li>• The range of potential formal enforcement and informal action following an inspection and the circumstances where they would be appropriate</li></ul>
The purpose of inspections	<ul style="list-style-type: none"><li>• The purpose of inspections and the difference between inspections and audits</li><li>• The process of conducting inspections</li></ul>

Ability to:	When undertaking this activity an individual must demonstrate they are able to:
Plan an inspection	<ul style="list-style-type: none"> <li>• Plan a risk-based inspection having regard to:               <ul style="list-style-type: none"> <li>– the scope of the inspection, including whether it is full or partial</li> <li>– the size, scope and ownership of the business</li> <li>– history of compliance, previous risk rating and any relevant information from recent interventions</li> <li>– hazards and risks</li> <li>– processes used</li> <li>– types of products present or produced</li> <li>– information or intelligence received about the business since last intervention</li> <li>– primary authority partnerships, inspection plans and primary authority advice</li> <li>– relevant information on the businesses' website</li> <li>– when it is appropriate to conduct the inspection</li> </ul> </li> <li>• Prepare the necessary equipment and paperwork required to undertake the inspection</li> </ul>
Conduct an inspection	<ul style="list-style-type: none"> <li>• Verify scope, ownership and management of the business</li> <li>• Conduct a risk-based inspection, making assessments about whether the business is complying with applicable legal requirements, through observations, questioning relevant individuals and review of records</li> <li>• Assess whether the business is applying good practice and identify opportunities for improvement</li> <li>• Gather and store relevant physical and digital information and materials in an appropriate manner and record in sufficient detail to support inspection findings and so they can be admissible as evidence in court, if required</li> <li>• Respond appropriately to unexpected circumstances identified during the inspection, if required and request assistance, where necessary</li> </ul>

<b>Ability to:</b>	<b>When undertaking this activity an individual must demonstrate they are able to:</b>
Take action to address any issues identified, including required follow-up action	<ul style="list-style-type: none"> <li>• Take appropriate and proportionate action in accordance with relevant policies and procedures, having regard to:               <ul style="list-style-type: none"> <li>– findings from the inspection</li> <li>– potential risks to human and/or animal health posed by any issues identified</li> <li>– potential risks to the interests of the consumer and supply chain integrity posed by any issues identified</li> <li>– previous compliance history</li> <li>– relevant enforcement policies and the Food or Feed Law Codes of Practice or Manual for Official Controls, including the hierarchy of enforcement</li> </ul> </li> <li>• Notify appropriate persons, other than the business, of the findings and action taken following the inspection in accordance with relevant policies and procedures</li> <li>• Take appropriate and proportionate follow-up action in accordance with relevant policies and procedures, to assess whether identified issues have been addressed</li> </ul>
Produce a written record of the outcomes of the inspection	<ul style="list-style-type: none"> <li>• Provide the business with a clearly written record in accordance with relevant legislation, policies and/or Food or Feed Law Code of Practice, which details:               <ul style="list-style-type: none"> <li>– the purpose of the inspection</li> <li>– the outcomes of the inspection</li> <li>– any action required, including where applicable, appropriate timescales</li> <li>– any recommendations, making a distinction between legal requirements and good practice</li> </ul> </li> <li>• Generate an appropriate risk rating to inform the frequency of the next intervention, where applicable</li> <li>• Generate an appropriate food hygiene rating score, where applicable</li> </ul>

### Sub-activity – B1.1: Assessing business compliance with food hygiene legislation

Sub-activity B1.1 covers assessing food businesses compliance with relevant food hygiene legislation as part of an inspection.

Knowledge and understanding of:	When undertaking this activity an individual must demonstrate knowledge and understanding of:
Hazards that can pose a risk to human health	<ul style="list-style-type: none"><li>• Common and emerging biological, chemical, physical and allergenic hazards and the appropriate control measures</li></ul>
Food Hygiene Rating Scheme	<ul style="list-style-type: none"><li>• The operation of the Food Hygiene Rating Scheme as set out in relevant legislation, including statutory guidance, or in the brand standard, including:<ul style="list-style-type: none"><li>– the purpose and scope of the scheme</li><li>– how to calculate a rating and when it will be published on the FSA website</li><li>– appeal procedures, the right to reply, requests for re-inspection and early publication</li><li>– requirements to display ratings, and the action that may be taken for non-display, where relevant</li><li>– the consequences of displaying an incorrect rating at the business, online or on promotional materials</li></ul></li></ul>

Ability to:	When undertaking this activity an individual must demonstrate they are able to:
Assess food safety management systems	<ul style="list-style-type: none"><li>• Review pre-requisites and assess their suitability and sufficiency</li><li>• Assess whether the business has put in place, implemented and maintained an effective template or bespoke food safety management system, which:<ul style="list-style-type: none"><li>– is based on HACCP principles and applicable legislation</li><li>– is suitable for the nature and size of the business and reflects applicable flexibilities</li><li>– has been reviewed and amended if required to reflect changes made to products, processes or business activities</li></ul></li></ul>

## Sub-activity – B1.2: Assessing business compliance with food standards legislation

Sub-activity B1.2 covers assessing food businesses compliance with relevant food standards legislation as part of an inspection.

Knowledge and understanding of:	When undertaking this activity an individual must demonstrate knowledge and understanding of:
Hazards that can pose a risk to human health	<ul style="list-style-type: none"><li>• Common and emerging chemical, physical and allergenic hazards and the appropriate control measures</li></ul>
Issues that pose a risk to the interests of the consumer	<ul style="list-style-type: none"><li>• Common and emerging food fraud and food crime, substitution, adulteration, labelling and information issues</li></ul>

Ability to:	When undertaking this activity an individual must demonstrate they are able to:
Assess food safety management systems and food quality assurance systems	<ul style="list-style-type: none"><li>• Review pre-requisites and assess their suitability and sufficiency</li><li>• Assess whether the business has put in place, implemented and maintained an effective template or bespoke food safety management system, which:<ul style="list-style-type: none"><li>– ensures that the requirements of relevant food standards legislation are met</li><li>– is suitable for the nature and size of the business and reflects applicable flexibilities</li><li>– has been reviewed and amended, if required, to reflect changes made to products, processes or business activities</li></ul></li><li>• Assess whether the business has put in place, implemented and maintained a food quality assurance system, which:<ul style="list-style-type: none"><li>– is based on applicable food standards legislation</li><li>– is suitable for the nature and size of the business</li><li>– has been reviewed and amended, if required to reflect changes made to products, processes or business activities</li></ul></li></ul>

### **Sub-activity – B1.3: Assessing business compliance with legislation at primary production**

Sub-activity B1.3 covers assessing food and/or feed businesses at the level of primary production compliance with relevant food hygiene and/or feed legislation as part of an inspection.

It does not cover:

- the approval of producers of sprouts and seeds intended for sprouting, which is covered in activity E9: Approval of businesses; or
- the review of the approval of producers of sprouts and seeds intended for sprouting, which is covered in activity E9: Approval of businesses

<b>Knowledge and understanding of:</b>	<b>When undertaking this activity an individual must demonstrate knowledge and understanding of:</b>
Hazards that can pose a risk to human and/or animal health	<ul style="list-style-type: none"><li>• Common and emerging biological, chemical, physical and allergenic hazards and the appropriate control measures</li></ul>
'Earned recognition' and how it is applied to businesses	<ul style="list-style-type: none"><li>• The types of earned recognition and the impact on intervention frequencies</li><li>• FSA approved assurance schemes and how to check membership status of a business</li><li>• Action required when membership status changes or earned recognition is removed, including the circumstances where recognition should be removed</li></ul>
Food Hygiene Rating Scheme	<ul style="list-style-type: none"><li>• Where applicable, the operation of the Food Hygiene Rating Scheme as set out in relevant legislation, including statutory guidance, or in the brand standard, including:<ul style="list-style-type: none"><li>– the purpose and scope of the scheme</li><li>– how to calculate a rating and when it will be published on the FSA website</li><li>– appeal procedures, the right to reply, requests for re-inspection and early publication</li><li>– requirements to display ratings, and the action that may be taken for non-display, where relevant</li><li>– the consequences of displaying an incorrect rating at the business, online or on promotional materials</li></ul></li></ul>



<b>Ability to:</b>	<b>When undertaking this activity an individual must demonstrate they are able to:</b>
Assess food safety and/or feed safety management systems	<ul style="list-style-type: none"> <li>• Review pre-requisites and assess their suitability and sufficiency</li> <li>• Assess whether the business has put in place, implemented and maintained an effective template or bespoke food safety and/or feed safety management system, which: <ul style="list-style-type: none"> <li>– is based on relevant legal requirements</li> <li>– is suitable for the nature and size of the business and reflects applicable flexibilities</li> <li>– has been reviewed and amended, if required, to reflect changes made to products, processes or business activities</li> </ul> </li> </ul>

### **Sub-activity – B1.4: Assessing business compliance with feed legislation**

Sub-activity B1.4 covers assessing feed businesses compliance with relevant feed legislation as part of an inspection.

<b>Knowledge and understanding of:</b>	<b>When undertaking this activity an individual must demonstrate knowledge and understanding of:</b>
Hazards that can pose a risk to human and/or animal health	<ul style="list-style-type: none"> <li>• Common and emerging biological, chemical and physical hazards and the appropriate control measures</li> </ul>
Issues that pose a risk to the interests of the consumer	<ul style="list-style-type: none"> <li>• Common and emerging food fraud and food crime which includes activity impacting on animal feed, adulteration, labelling and information issues</li> </ul>
'Earned recognition' and how it is applied to businesses	<ul style="list-style-type: none"> <li>• The types of earned recognition and the impact on intervention frequencies</li> <li>• FSA approved assurance schemes and how to check membership status of a business</li> <li>• Action required when membership status changes or earned recognition is removed, including the circumstances where recognition should be removed</li> </ul>

<b>Ability to:</b>	<b>When undertaking this activity an individual must demonstrate they are able to:</b>
Assess feed safety management systems and feed quality assurance systems	<ul style="list-style-type: none"> <li>• Review pre-requisites and assess their suitability and sufficiency</li> <li>• Assess whether the business has put in place, implemented and maintained an effective template or bespoke feed safety management system, which: <ul style="list-style-type: none"> <li>– is based on HACCP principles and applicable legislation</li> <li>– is suitable for the nature and size of the business and reflects applicable flexibilities</li> <li>– has been reviewed and amended if required to reflect changes made to products, processes or business activities</li> </ul> </li> <li>• Assess whether the business has put in place, implemented and maintained a feed quality assurance system, which: <ul style="list-style-type: none"> <li>– is based on applicable feed legislation</li> <li>– is suitable for the nature and size of the business</li> <li>– has been reviewed and amended, if required to reflect changes made to products, processes or business activities</li> </ul> </li> </ul>

### **Sub-activity – B1.5: Assessing business compliance with legislation remotely**

Sub-activity B1.5 covers assessing food and/or feed businesses compliance with relevant food and/or feed legislation as part of an inspection conducted away from the business, including those conducted using remote technology.

**Note:** The competency statements for this sub-activity are still to be developed. During the response to COVID-19 remote assessments have been used and it is being considered how they may be used more routinely in the future.

<b>Knowledge and understanding of:</b>	<b>When undertaking this activity an individual must demonstrate knowledge and understanding of:</b>
	<ul style="list-style-type: none"> <li>• Details to be added after they have been developed</li> </ul>

<b>Ability to:</b>	<b>When undertaking this activity an individual must demonstrate they are able to:</b>
	<ul style="list-style-type: none"> <li>• Details to be added after they have been developed</li> </ul>

## Activity B2: Auditing

Individuals undertaking the activity B2: Auditing must be able to demonstrate the competencies for:

- A: Common competencies; and
- B2: Auditing

There are also Auditing sub-activities covering:

- B2.1: Food hygiene audits
- B2.2: Food standards audits
- B2.3: Primary production audits
- B2.4: Feed audits
- B2.5: Remote audits

To undertake a B2: Auditing sub-activity, individuals must demonstrate the competencies for:

- A: Common competencies; and
- B2: Auditing; and
- the specific sub-activity

### B2: Auditing

Activity B2 covers the full or partial audit of food and feed businesses to determine whether their food safety, feed safety or quality assurance systems are suitable and have been implemented effectively.

Knowledge and understanding of:	When undertaking this activity an individual must demonstrate knowledge and understanding of:
The technologies and processes used by businesses	<ul style="list-style-type: none"><li>• Common process methods and technologies used by businesses, including the hazards and risks associated with them. There are competencies for specific high-risk and/or complex processes in activity E7.</li></ul>
The outcomes of an audit	<ul style="list-style-type: none"><li>• The range of potential formal and enforcement action following an audit and the circumstances where they would be appropriate</li></ul>
The purpose of audits	<ul style="list-style-type: none"><li>• The purpose of audits and the difference between audits and inspections</li><li>• The process of conducting audits</li></ul>

Ability to:	When undertaking this activity an individual must demonstrate they are able to:
Plan an audit	<ul style="list-style-type: none"> <li>• Plan a risk-based audit having regard to:               <ul style="list-style-type: none"> <li>– the scope of the audit, including whether it is full or partial</li> <li>– the size, scope and ownership of the business</li> <li>– history of compliance, previous risk rating and any relevant information from recent interventions</li> <li>– hazards and risks</li> <li>– processes used</li> <li>– types of products present or produced</li> <li>– information or intelligence received about the business since last intervention</li> <li>– primary authority partnerships, inspection plans and primary authority advice</li> <li>– relevant information provided on the businesses' website</li> <li>– when it is appropriate to conduct the audit</li> <li>– pre-audit findings from a review of the relevant food safety, feed safety or quality assurance system</li> </ul> </li> <li>• Prepare the necessary equipment and paperwork required to undertake the audit</li> </ul>
Conduct an audit	<ul style="list-style-type: none"> <li>• Verify scope, ownership and management of the business</li> <li>• Conduct a risk-based audit, making assessments through observation, questioning relevant individuals and review of records to assess whether the business:               <ul style="list-style-type: none"> <li>– has put in place, implemented and maintained a suitable and sufficient food safety, feed safety or quality assurance system, including pre-requisites</li> <li>– is complying with applicable legal requirements</li> <li>– is applying good practice and identify opportunities for improvement</li> </ul> </li> <li>• Gather and store relevant physical and digital information and materials in an appropriate manner and record in sufficient detail to support audits findings and so they can be admissible as evidence in court, if required</li> <li>• Respond appropriately to unexpected circumstances identified during the audit, if required and requesting assistance, where necessary</li> </ul>

<b>Ability to:</b>	<b>When undertaking this activity an individual must demonstrate they are able to:</b>
Take action to address any issues identified, including required follow-up action	<ul style="list-style-type: none"> <li>• Take appropriate and proportionate action in accordance with relevant policies and procedures, having regard to: <ul style="list-style-type: none"> <li>– findings from the audit</li> <li>– potential risks to human and/or animal health posed by any issues identified</li> <li>– potential risks to the interests of the consumer and supply chain integrity posed by any issues identified</li> <li>– previous compliance history</li> <li>– relevant enforcement policies and the Food or Feed Law Codes of Practice or Manual for Official Controls, including the hierarchy of enforcement</li> </ul> </li> <li>• Notify appropriate persons, other than the business, of the findings and action taken following the audit in accordance with relevant policies and procedures</li> <li>• Take appropriate and proportionate follow-up action in accordance with relevant policies and procedures, to assess whether identified issues have been addressed</li> </ul>
Produce a written record of the outcomes of the audit	<ul style="list-style-type: none"> <li>• Provide the business with a clearly written record in accordance with relevant legislation, policies and/or Food or Feed Law Code of Practice, which details: <ul style="list-style-type: none"> <li>– the purpose of the audit</li> <li>– the outcomes of the audit</li> <li>– any action required, including where applicable, appropriate timescales</li> <li>– any recommendations, making a distinction between legal requirements and good practice</li> </ul> </li> <li>• Generate an appropriate risk rating to inform the frequency of the next intervention, where applicable</li> <li>• Generate a food hygiene rating score, where applicable</li> </ul>

### Sub-activity – B2.1: Food hygiene audits

Sub-activity B2.1 covers auditing food businesses to determine whether their food safety management system is suitable and has been implemented effectively.

Knowledge and understanding of:	When undertaking this activity an individual must demonstrate knowledge and understanding of:
Hazards that can pose a risk to human health	<ul style="list-style-type: none"><li>• Common and emerging biological, chemical, physical and allergenic hazards and the appropriate control measures</li></ul>
Food Hygiene Rating Scheme	<ul style="list-style-type: none"><li>• The operation of the Food Hygiene Rating Scheme as set out in relevant legislation, including statutory guidance, or in the brand standard, including:<ul style="list-style-type: none"><li>– the purpose and scope of the scheme</li><li>– how to calculate a rating and when it will be published on the FSA website</li><li>– appeal procedures, the right to reply, requests for re-inspection and early publication</li><li>– requirements to display ratings, and the action that may be taken for non-display, where relevant</li><li>– the consequences of displaying an incorrect rating at the business, online or on promotional materials</li></ul></li></ul>

Ability to:	When undertaking this activity an individual must demonstrate they are able to:
Review food safety management systems	<ul style="list-style-type: none"><li>• Review pre-requisites and assess their suitability and sufficiency</li><li>• Assess whether a food safety management system:<ul style="list-style-type: none"><li>– is based on HACCP principles and applicable legislation</li><li>– is suitable for the nature and size of the business and reflects applicable flexibilities</li><li>– has been reviewed and amended, if required, to reflect changes made to products, processes or business activities</li></ul></li></ul>

### Sub-activity – B2.2: Food standards audits

Sub-activity B2.2 covers auditing food businesses to determine whether their food safety management system and/or food quality assurance system is suitable and has been implemented effectively in relation to food standards.

Knowledge and understanding of:	When undertaking this activity an individual must demonstrate knowledge and understanding of:
Hazards that can pose a risk to human health	<ul style="list-style-type: none"><li>• Common and emerging chemical, physical and allergenic hazards and the appropriate control measures</li></ul>
Issues that pose a risk to the interests of the consumer	<ul style="list-style-type: none"><li>• Common and emerging food fraud and food crime, substitution, adulteration, labelling and information issues</li></ul>

Ability to:	When undertaking this activity an individual must demonstrate they are able to:
Review food safety management and food quality assurance systems	<ul style="list-style-type: none"><li>• Review pre-requisites and assess their suitability and sufficiency</li><li>• Assess whether a food safety management system:<ul style="list-style-type: none"><li>– ensures that the requirements of relevant food standards legislation are met</li><li>– is suitable for the nature and size of the business and reflects applicable flexibilities</li><li>– has been reviewed and amended, if required, to reflect changes made to products, processes or business activities</li></ul></li><li>• Assess whether a food quality assurance system:<ul style="list-style-type: none"><li>– is based on applicable food standards legislation</li><li>– is suitable for the nature and size of the business</li><li>– has been reviewed and amended, if required, to reflect changes made to products, processes or business activities</li></ul></li></ul>

### Sub-activity – B2.3: Primary production audits

Sub-activity B2.3 covers auditing food and/or feed businesses at the level of primary production to determine whether their food and/or feed safety management system is suitable and have been implemented effectively.

It does not cover:

- the approval of producers of sprouts and seeds intended for sprouting, which is covered in activity E9: Approval of businesses; or
- the review of the approval of producers of sprouts and seeds intended for sprouting, which is covered in activity E9: Approval of businesses

Knowledge and understanding of:	When undertaking this activity an individual must demonstrate knowledge and understanding of:
Hazards that can pose a risk to human and/or animal health	<ul style="list-style-type: none"><li>• Common and emerging biological, chemical, physical and allergenic hazards and the appropriate control measures</li></ul>
Food Hygiene Rating Scheme	<ul style="list-style-type: none"><li>• Where applicable, the operation of the Food Hygiene Rating Scheme as set out in relevant legislation, including statutory guidance, or in the brand standard, including:<ul style="list-style-type: none"><li>– the purpose and scope of the scheme</li><li>– how to calculate a rating and when it will be published on the FSA website</li><li>– appeal procedures, the right to reply, requests for re-inspection and early publication</li><li>– requirements to display ratings, and the action that may be taken for non-display, where relevant</li><li>– the consequences of displaying an incorrect rating at the business, online or on promotional materials</li></ul></li></ul>
'Earned recognition' and how it is applied to businesses	<ul style="list-style-type: none"><li>• The types of earned recognition and the impact on intervention frequencies</li><li>• FSA approved assurance schemes and how to check membership status of a business</li><li>• Action required when membership status changes or earned recognition is removed, including the circumstances where recognition should be removed</li></ul>



<b>Ability to:</b>	<b>When undertaking this activity an individual must demonstrate they are able to:</b>
Review food safety and/or feed safety management systems	<ul style="list-style-type: none"> <li>• Review pre-requisites and assess their suitability and sufficiency</li> <li>• Assess whether a food safety and/or feed safety management system: <ul style="list-style-type: none"> <li>– is based on relevant legal requirements</li> <li>– is suitable for the nature and size of the business and reflects applicable flexibilities</li> <li>– has been reviewed and amended, if required, to reflect changes made to products, processes or business activities</li> </ul> </li> </ul>

### **Sub-activity – B2.4: Feed audits**

Sub-activity B2.4 covers auditing feed businesses to determine whether their feed safety management system is suitable and has been implemented effectively.

<b>Knowledge and understanding of:</b>	<b>When undertaking this activity an individual must demonstrate knowledge and understanding of:</b>
Hazards that can pose a risk to human and/or animal health	<ul style="list-style-type: none"> <li>• Common and emerging biological, chemical and physical hazards and the appropriate control measures</li> </ul>
Issues that pose a risk to the interests of the consumer	<ul style="list-style-type: none"> <li>• Common and emerging food fraud and food crime which includes activity impacting on animal feed, adulteration, labelling and information issues</li> </ul>
'Earned recognition' and how it is applied to businesses	<ul style="list-style-type: none"> <li>• The types of earned recognition and the impact on intervention frequencies</li> <li>• FSA approved assurance schemes and how to check membership status of a business</li> <li>• Action required when membership status changes or earned recognition is removed, including the circumstances where recognition should be removed</li> </ul>

<b>Ability to:</b>	<b>When undertaking this activity an individual must demonstrate they are able to:</b>
Review feed safety management systems and feed quality assurance systems	<ul style="list-style-type: none"> <li>• Review pre-requisites and assess their suitability and sufficiency</li> <li>• Assess whether a feed safety management system: <ul style="list-style-type: none"> <li>– is based on HACCP principles and applicable feed legislation</li> <li>– is suitable for the nature and size of the business and reflects applicable flexibilities</li> <li>– has been reviewed and amended, if required, to reflect changes made to products, processes or business activities</li> </ul> </li> <li>• Assess whether a feed quality assurance system: <ul style="list-style-type: none"> <li>– is based on applicable feed legislation</li> <li>– is suitable for the nature and size of the business</li> <li>– has been reviewed and amended, if required, to reflect changes made to products, processes or business activities</li> </ul> </li> </ul>

### **Sub-activity B2.5 – Remote audits**

Sub-activity B2.5 covers auditing food and/or feed businesses to determine whether their food safety, feed safety or quality assurance system is suitable and has been implemented effectively when away from the business, including those conducted using remote technology.

**Note:** The competency statements for this sub-activity are still to be developed. During the response to COVID-19 remote assessments have been used and it is being considered how they may be used more routinely in the future.

<b>Knowledge and understanding of:</b>	<b>When undertaking this activity an individual must demonstrate knowledge and understanding of:</b>
	<ul style="list-style-type: none"> <li>• Details to be added after they have been developed</li> </ul>

<b>Ability to:</b>	<b>When undertaking this activity an individual must demonstrate they are able to:</b>
	<ul style="list-style-type: none"> <li>• Details to be added after they have been developed</li> </ul>

## Activity B3: Validation

Individuals undertaking the activity B3: Validation must be able to demonstrate the competencies for:

- A: Common competencies; and
- B3: Validation

There are also Validation sub-activities covering:

- B3.1: Assessing the validation of food safety management systems
- B3.2: Assessing the validation of quality assurance systems
- B3.3: Assessing the validation of feed safety management systems

To undertake a B3: Validation sub-activity, individuals must demonstrate the competencies for:

- A: Common competencies; and
- B3: Validation; and
- the specific sub-activity

### B3: Validation

Activity B3 covers assessing the validation undertaken by food and/or feed businesses of their food safety, feed safety or quality assurance systems to determine whether the system is suitable and prevents, eliminates or reduces hazards to acceptable limits.

Knowledge and understanding of:	When undertaking this activity an individual must demonstrate knowledge and understanding of:
The technologies and processes used by businesses	<ul style="list-style-type: none"><li>• Common process methods and technologies used by businesses, including the hazards and risks associated with them. There are competencies for specific high-risk and/or complex processes in activity E7.</li></ul>
Validation and validation methodologies	<ul style="list-style-type: none"><li>• The purpose of validation and the relationship between validation and verification, including their differences</li><li>• The range of methods that can be used by businesses to validate control measures and critical limits</li></ul>
The outcomes of validation	<ul style="list-style-type: none"><li>• The range of potential formal enforcement and informal action following validation and the circumstances where they would be appropriate</li></ul>

Ability to:	When undertaking this activity an individual must demonstrate they are able to:
Take action to address any issues identified, including required follow-up action	<ul style="list-style-type: none"> <li>• Take appropriate and proportionate action in accordance with relevant policies and procedures, having regard to:               <ul style="list-style-type: none"> <li>– findings from the validation</li> <li>– potential risks to human and/or animal health posed by any issues identified</li> <li>– potential risks to the interests of the consumer and supply chain integrity posed by any issues identified</li> <li>– previous compliance history</li> <li>– relevant enforcement policies and the Food or Feed Law Codes of Practice or Manual for Official Controls, including the hierarchy of enforcement</li> </ul> </li> <li>• Notify appropriate persons, other than the business, of the findings and action taken following the validation in accordance with relevant policies and procedures</li> <li>• Take appropriate and proportionate follow-up action in accordance with relevant policies and procedures, to assess whether identified issues have been addressed</li> </ul>
Produce a written record of the outcomes of validation	<ul style="list-style-type: none"> <li>• Provide the business with a clearly written record in accordance with relevant legislation, policies and/or Food or Feed Law Code of Practice, which details:               <ul style="list-style-type: none"> <li>– the purpose of the validation</li> <li>– the outcomes of the validation</li> <li>– any action required, including where applicable, appropriate timescales</li> <li>– any recommendations, making a distinction between legal requirements and good practice</li> </ul> </li> </ul>

### **Sub-activity – B3.1: Assessing the validation of food safety management systems**

Sub-activity B3.1 covers assessing the validation undertaken by food businesses of their food safety management systems.

<b>Ability to:</b>	<b>When undertaking this activity an individual must demonstrate they are able to:</b>
Review and validate a food safety management system	<ul style="list-style-type: none"><li>• Review pre-requisites and assess their suitability and sufficiency</li><li>• Assess whether a food safety management system:<ul style="list-style-type: none"><li>– is based on HACCP principles and applicable legislation</li><li>– is suitable for the nature and size of the business and reflects applicable flexibilities</li><li>– has been reviewed and amended, if required, to reflect changes made to products, processes or business activities</li></ul></li><li>• Assess the validity of critical limits and whether the control measures prevent, eliminate or reduce hazards identified within the business to an acceptable limit</li></ul>

### **Sub-activity – B3.2: Assessing the validation of quality assurance systems**

Sub-activity B3.2 covers assessing the validation undertaken by food and/or feed businesses of their quality assurance systems.

<b>Ability to:</b>	<b>When undertaking this activity an individual must demonstrate they are able to:</b>
Review and validate a quality assurance system	<ul style="list-style-type: none"><li>• Assess whether the food quality assurance system:<ul style="list-style-type: none"><li>– is based on applicable food standards legislation</li><li>– is suitable for the nature and size of the business</li><li>– has been reviewed and amended, if required to reflect changes made to products, processes or business activities</li></ul></li><li>• Assess the validity of critical limits and whether the control measures prevent, eliminate or reduce hazards identified within the business to an acceptable limit</li></ul>

### Sub-activity – B3.3: Assessing the validation of feed safety management systems

Sub-activity B3.3 covers assessing the validation undertaken by feed businesses of their feed safety management systems.

Ability to:	When undertaking this activity an individual must demonstrate they are able to:
Review and validate a feed safety management system	<ul style="list-style-type: none"><li>• Review pre-requisites and assess their suitability and sufficiency</li><li>• Assess whether a feed safety management system:<ul style="list-style-type: none"><li>– is based on HACCP principles and applicable legislation</li><li>– is suitable for the nature and size of the business and reflects applicable flexibilities</li><li>– has been reviewed and amended, if required, to reflect changes made to products, processes or business activities</li></ul></li><li>• Assess the validity of critical limits and whether the control measures prevent, eliminate or reduce hazards identified within the business to an acceptable limit</li></ul>

### Activity B4: Verification

Individuals undertaking the activity B4: Verification must be able to demonstrate the competencies for:

- A: Common competencies; and
- B4: Verification

#### B4: Verification

Activity B4 covers assessing the verification undertaken by food and/or feed businesses of their food safety, feed safety or quality assurance systems to determine whether the system has been effectively implemented to ensure ongoing fitness for purpose.

Knowledge and understanding of:	When undertaking this activity an individual must demonstrate knowledge and understanding of:
The technologies and processes used by businesses	<ul style="list-style-type: none"><li>• Common process methods and technologies used by businesses, including the hazards and risks associated with them. There are competencies for specific high-risk and/or complex processes in activity E7.</li></ul>

<b>Knowledge and understanding of:</b>	<b>When undertaking this activity an individual must demonstrate knowledge and understanding of:</b>
Verification and verification methodologies	<ul style="list-style-type: none"> <li>• The purpose of verification and the relationship between validation and verification, including their differences</li> <li>• The range of methods used to assess and verify food safety, feed safety and/or quality assurance systems</li> </ul>
The outcomes of verification	<ul style="list-style-type: none"> <li>• The range of potential formal enforcement and informal action following verification and the circumstances where they would be appropriate</li> </ul>

<b>Ability to:</b>	<b>When undertaking this activity an individual must demonstrate they are able to:</b>
Assess verification procedures	<ul style="list-style-type: none"> <li>• Assess verification procedures to ensure the effectiveness of food safety, feed safety and quality assurance systems</li> </ul>
Take action to address any issues identified, including required follow-up action	<ul style="list-style-type: none"> <li>• Take appropriate and proportionate action in accordance with relevant policies and procedures, having regard to: <ul style="list-style-type: none"> <li>– findings from the verification</li> <li>– potential risks to human and/or animal health posed by any issues identified</li> <li>– potential risks to the interests of the consumer and supply chain integrity posed by any issues identified</li> <li>– previous compliance history</li> <li>– relevant enforcement policies and the Food or Feed Law Codes of Practice or Manual for Official Controls, including the hierarchy of enforcement</li> </ul> </li> <li>• Notify appropriate persons, other than the business, of the findings and action taken following the verification in accordance with relevant policies and procedures</li> <li>• Take appropriate and proportionate follow-up action in accordance with relevant policies and procedures, to assess whether identified issues have been addressed</li> </ul>
Produce a written record of the outcomes of verification	<ul style="list-style-type: none"> <li>• Provide the business with a clearly written record in accordance with relevant legislation, policies and/or Food or Feed Law Code of Practice, which details: <ul style="list-style-type: none"> <li>– the purpose of the verification</li> <li>– the outcomes of the verification</li> <li>– any action required, including where applicable, appropriate timescales</li> <li>– any recommendations, making a distinction between legal requirements and good practice</li> </ul> </li> </ul>

## Activity B5: Sampling

Individuals undertaking the activity B5: Sampling must be able to demonstrate the competencies for:

- A: Common competencies; and
- B5: Sampling

There are also sampling sub-activities covering:

- B5.1: Taking formal samples
- B5.2: Taking informal sampling

To undertake a B5: Sampling sub-activity, individuals must demonstrate the competencies for:

- A: Common competencies; and
- B5: Sampling; and
- the specific sub-activity

### B5: Sampling

Activity B5 covers taking any samples relevant to food and/or feed to verify compliance with applicable legislation, including at points of entry.

It does not cover:

- sampling for information gathering purposes, which is covered in activity B8: Information Gathering; or
- shellfish environmental sampling, which is covered by activity E6: Shellfish Environmental Monitoring

Knowledge and understanding of:	When undertaking this activity an individual must demonstrate knowledge and understanding of:
The role of sampling and other organisations involved in the process	<ul style="list-style-type: none"><li>• The role of sampling in protecting consumers and assessing business compliance, including limitations of sampling</li><li>• The role of analysts and examiners, including the advice they can provide when taking samples</li><li>• The role of the Government chemist and the circumstances when samples can be submitted to them</li></ul>
The outcomes of sampling	<ul style="list-style-type: none"><li>• The range of potential formal enforcement and informal action following a sample being taken and the circumstances where they would be appropriate</li></ul>



<b>Ability to:</b>	<b>When undertaking this activity an individual must demonstrate they are able to:</b>
Interpret sampling results	<ul style="list-style-type: none"> <li>• Interpret sample results taking into consideration: <ul style="list-style-type: none"> <li>– relevant legislation and guidance</li> <li>– how they apply to the business</li> <li>– the advice of analysts and examiners, including on correction factors and minimum levels of detection, if relevant</li> </ul> </li> </ul>
Take action to address any issues identified, including required follow-up action	<ul style="list-style-type: none"> <li>• Take appropriate and proportionate action in accordance with relevant policies and procedures, having regard to: <ul style="list-style-type: none"> <li>– findings from the sampling</li> <li>– potential risks to human and/or animal health posed by any issues identified</li> <li>– potential risks to the interests of the consumer and supply chain integrity posed by any issues identified</li> <li>– previous compliance history</li> <li>– relevant enforcement policies and the Food or Feed Law Codes of Practice or Manual for Official Controls, including the hierarchy of enforcement</li> </ul> </li> <li>• Notify appropriate persons, other than the business, of the findings and action taken following the sampling in accordance with relevant policies and procedures</li> <li>• Take appropriate and proportionate follow-up action in accordance with relevant policies and procedures, to assess whether identified issues have been addressed</li> </ul>
Produce a written record of the outcomes of sampling	<ul style="list-style-type: none"> <li>• Provide the business with a clearly written record in accordance with relevant legislation, policies and/or Food or Feed Law Code of Practice, which details: <ul style="list-style-type: none"> <li>– the purpose of the sample(s)</li> <li>– the results of the sample(s)</li> <li>– any action required, including where applicable, appropriate timescales</li> <li>– any recommendations, making a distinction between legal requirements and good practice</li> </ul> </li> </ul>

### Sub-activity – B5.1: Taking formal samples

Sub-activity B5.1 covers the taking of formal food and/or feed samples in accordance with relevant legislation.

Ability to:	When undertaking this activity an individual must demonstrate they are able to:
Take formal samples	<ul style="list-style-type: none"><li>• Take risk-based representative samples in accordance with relevant legislation, policies, procedures, Food or Feed Law Codes of Practice and Practice Guidance or Manual for Official Controls, including samples from online businesses</li><li>• Seal, store, transport and submit samples to a suitable laboratory using the appropriate procedure, ensuring that the integrity and continuity of the sample is maintained</li><li>• Maintain continuity of information gathered and recorded during the sampling, including samples taken by means of distance selling, so that they are admissible as evidence, if required</li></ul>

### Sub-activity – B5.2: Taking informal samples

Sub-activity B5.2 covers taking informal food and/or feed samples.

It does not cover sampling for information gathering purposes, which is covered in activity B8: Information Gathering.

Ability to:	When undertaking this activity an individual must demonstrate they are able to:
Take informal samples	<ul style="list-style-type: none"><li>• Take risk-based samples from physical and online businesses in accordance with relevant policies and procedures</li><li>• Seal, store, transport and submit samples to a suitable laboratory using the appropriate procedure, ensuring that the integrity of the samples is maintained</li></ul>

## Activity B6: Assessing products, labelling and other information

Individuals undertaking the activity B6: Assessing Products, Labelling and Other Information must be able to demonstrate the competencies for:

- A: Common competencies; and
- B6: Assessing products, labelling and other information

There are also sampling sub-activities covering:

- B6.1: Assessing whether food products are safe and fit for consumption
- B6.2: Assessing whether food is of the nature, substance or quality demanded by the consumer
- B6.3: Assessing product labelling and information
- B6.4: Assessing whether feed is safe, unadulterated and fit for its purpose
- B6.5: Assessing compliance of imported food and/or feed products other than at points of entry

To undertake a B6: Assessing products, labelling and other information sub-activity, individuals must demonstrate the competencies for:

- A: Common competencies; and
- B6: Assessing products, labelling and other information; and
- the specific sub-activity

### **B6: Assessing products, labelling and other information**

Activity B6 covers assessing food and/or feed products, labelling or other information to determine whether it complies with applicable legislation.

<b>Knowledge and understanding of:</b>	<b>When undertaking this activity an individual must demonstrate knowledge and understanding of:</b>
The outcomes following an assessment of products, labelling or other information	<ul style="list-style-type: none"><li>• The range of potential formal enforcement and informal action following an assessment of products, labelling or other information and the circumstances where they would be appropriate</li></ul>

<b>Ability to:</b>	<b>When undertaking this activity an individual must demonstrate they are able to:</b>
Take action to address any issues identified, including required follow-up action	<ul style="list-style-type: none"> <li>• Take appropriate and proportionate action in accordance with relevant policies and procedures, having regard to: <ul style="list-style-type: none"> <li>– findings from the assessment of products, labelling or other information</li> <li>– potential risks to human and/or animal health posed by any issues identified</li> <li>– potential risks to the interests of the consumer and supply chain integrity posed by any issues identified</li> <li>– previous compliance history</li> <li>– relevant enforcement policies and the Food or Feed Law Codes of Practice or Manual for Official Controls, including the hierarchy of enforcement</li> </ul> </li> <li>• Notify appropriate persons of the findings and action taken following the assessment of products, labelling or other information in accordance with relevant policies and procedures</li> <li>• Take appropriate and proportionate follow-up action in accordance with relevant policies and procedures, to assess whether identified issues have been addressed</li> </ul>
Produce a written record of the outcomes of the assessment	<ul style="list-style-type: none"> <li>• Provide the business with a clearly written record in accordance with relevant legislation, policies and/or Food or Feed Law Code of Practice, which details: <ul style="list-style-type: none"> <li>– the purpose of the assessment</li> <li>– the outcomes of the assessment</li> <li>– any action required, including where applicable, appropriate timescales</li> <li>– any recommendations, making a distinction between legal requirements and good practice</li> </ul> </li> </ul>

### **Sub-activity – B6.1: Assessing whether food products are safe and fit for consumption**

Sub-activity B6.1 covers identifying food and determining whether it is safe and fit for human consumption.

<b>Knowledge and understanding of:</b>	<b>When undertaking this activity an individual must demonstrate knowledge and understanding of:</b>
Hazards that can pose a risk to human health	<ul style="list-style-type: none"> <li>• Common and emerging biological, chemical, physical and allergenic hazards and the appropriate control measures</li> </ul>

<b>Knowledge and understanding of:</b>	<b>When undertaking this activity an individual must demonstrate knowledge and understanding of:</b>
Identification and assessment of food	<ul style="list-style-type: none"> <li>• Common types of food, including meat, offal, fish, fruit and vegetables and known issues or diseases relating to them</li> <li>• Assessment methods used to determine whether food is safe and fit for consumption, examples include visual and physical assessments</li> </ul>

<b>Ability to:</b>	<b>When undertaking this activity an individual must demonstrate they are able to:</b>
Determine if food is safe and fit for human consumption	<ul style="list-style-type: none"> <li>• Determine whether foods are safe and fit for human consumption using appropriate assessment methods</li> <li>• Determine whether samples are required to confirm whether the food is safe and fit for human consumption</li> <li>• Gather and store relevant information and materials in an appropriate manner and record in sufficient detail to support assessment findings and so they can be admissible as evidence in court, if required</li> </ul>

### **Sub-activity – B6.2: Assessing whether food is of the nature, substance or quality demanded by the consumer**

Sub-activity B6.2 covers the assessment of food supplied and/or sold by businesses to determine whether it is of the nature, substance or quality demanded by the consumer.

<b>Ability to:</b>	<b>When undertaking this activity an individual must demonstrate they are able to:</b>
Determine whether food complies with legal requirements	<ul style="list-style-type: none"> <li>• Determine whether foods are of the required nature, substance or quality using appropriate assessment methods, examples include visual and physical assessments</li> <li>• Determine whether samples are required to confirm whether the food is of the required nature, substance or quality</li> <li>• Gather and store relevant physical and digital information and materials in an appropriate manner and record in sufficient detail to support assessment findings and so they can be admissible as evidence in court, if required</li> </ul>

### Sub-activity – B6.3: Assessing product labelling and information

Sub-activity B6.3 covers the assessment of food and/or feed product labelling, advertising and other information, including information provided online, to determine whether it complies with applicable legal requirements.

Ability to:	When undertaking this activity an individual must demonstrate they are able to:
Determine whether product labelling and information complies with legal requirements	<ul style="list-style-type: none"><li>• Review product labelling, advertising and other information (including online information) to determine whether it complies with applicable legal requirements, examples include visual and physical assessments</li><li>• Determine whether samples are required to confirm that labelling and/or information complies with legal requirements</li><li>• Gather and store relevant physical and digital information and materials in an appropriate manner and record in sufficient detail to support assessment findings and so they can be admissible as evidence in court, if required</li></ul>

### Sub-activity – B6.4: Assessing whether feed is safe, unadulterated and fit for its purpose

Sub-activity B6.4 covers the assessment of feed supplied and/or sold by businesses to determine whether it is safe, unadulterated and fit for its purpose.

Knowledge and understanding of:	When undertaking this activity an individual must demonstrate knowledge and understanding of:
Hazards that can pose a risk to human and/or animal health	<ul style="list-style-type: none"><li>• Common and emerging biological, chemical and physical hazards and the appropriate control measures</li></ul>

Ability to:	When undertaking this activity an individual must demonstrate they are able to:
Determine whether feed complies with legal requirements	<ul style="list-style-type: none"><li>• Determine whether feed is safe, unadulterated and fit for its purpose using appropriate assessment methods, examples include visual and physical assessments</li><li>• Determine whether samples are required to confirm whether the feed is safe, unadulterated and fit for its purpose</li><li>• Gather and store relevant physical and digital information and materials in an appropriate manner and record in sufficient detail to support assessment findings and so they can be admissible as evidence in court, if required</li></ul>

## Activity B7: Education, advice and coaching

Individuals undertaking the activity B7: Education, Advice and Coaching must be able to demonstrate the competencies for:

- A: Common competencies; and
- B7: Education, advice and coaching

### B7: Education, advice and coaching

Activity B7 covers providing education, advice or coaching to food and/or feed businesses about compliance with applicable legislation and/or good practice.

This could be provided during an intervention or separately, for example, a training course, including those which are charged for. It also includes advice to consumers.

Knowledge and understanding of:	When undertaking this activity an individual must demonstrate knowledge and understanding of:
Educating, advising and coaching businesses	<ul style="list-style-type: none"><li>• The differences between education, advice and coaching, including the circumstances where they would be appropriate</li><li>• The circumstances where education, advice and coaching would not be appropriate and other informal or formal action is required</li></ul>

Ability to:	When undertaking this activity an individual must demonstrate they are able to:
Provide education, advice and coaching to businesses	<ul style="list-style-type: none"><li>• Provide appropriate information and guidance to businesses on compliance with legislation and good practice, making clear distinctions between them</li><li>• Signpost the business to appropriate guidance and information</li></ul>

## Activity B8: Information gathering

Individuals undertaking the activity B8: Information Gathering must be able to demonstrate the competencies for:

- A: Common competencies; and
- B8: Information gathering

There is also an information gathering sub-activity covering:

- B8.1: Gathering, processing and sharing intelligence

To undertake the B8 Information gathering sub-activity, individuals must demonstrate the competencies for:

- A: Common competencies; and
- B8: Information gathering; and
- B8.1: Gathering, processing and sharing intelligence

### B8: Information gathering

Activity B8 covers gathering information about food and/or feed businesses or products, including sampling for information gathering purposes.

Ability to:	When undertaking this activity an individual must demonstrate they are able to:
Gather information	<ul style="list-style-type: none"><li>• Gather information, including the procurement of samples for information gathering purposes, in accordance with relevant policies and procedures</li><li>• Share information with appropriate persons, including the Food Standards Agency, using suitable methods</li></ul>

### Sub-activity – B8.1: Gathering, processing and sharing intelligence

Sub-activity B8.1 covers the gathering, processing and sharing of intelligence with appropriate persons using suitable methods.

Knowledge and understanding of:	When undertaking this activity an individual must demonstrate knowledge and understanding of:
Sources of intelligence	<ul style="list-style-type: none"><li>• The difference between intelligence and information</li><li>• The range of sources of intelligence and their reliability</li></ul>



<b>Ability to:</b>	<b>When undertaking this activity an individual must demonstrate they are able to:</b>
Gather, process and share intelligence	<ul style="list-style-type: none"> <li>• Gather intelligence from a variety of sources, including intelligence databases, if relevant</li> <li>• Process intelligence using an intelligence grading system</li> <li>• Share intelligence with appropriate persons, including the Food Standards Agency, using suitable secure methods, for example relevant intelligence databases</li> </ul>

## Activity B9: Monitoring

Individuals undertaking the activity B9: Monitoring must be able to demonstrate the competencies for:

- A: Common competencies; and
- B9: Monitoring

### B9: Monitoring

Activity B9 covers conducting a planned sequence of assessments to determine compliance of food and/or feed businesses with applicable legislation.

It does not cover:

- internal monitoring, which is covered under sub-activity E1.1: Developing, implementing, monitoring and reviewing internal operational documents
- covert surveillance, which is covered in activity C1: Reactive investigations

<b>Knowledge and understanding of:</b>	<b>When undertaking this activity an individual must demonstrate knowledge and understanding of:</b>
The outcomes following monitoring activities	<ul style="list-style-type: none"> <li>• The range of potential formal enforcement and informal action following monitoring activities and the circumstances where they would be appropriate</li> </ul>
Types of monitoring activities	<ul style="list-style-type: none"> <li>• The types of monitoring activities that could be used to assess compliance with legal requirements and application of good practice</li> </ul>

<b>Ability to:</b>	<b>When undertaking this activity an individual must demonstrate they are able to:</b>
Plan monitoring activities	<ul style="list-style-type: none"> <li>• Plan a risk-based monitoring activity having regard to:               <ul style="list-style-type: none"> <li>– the size, scope and ownership of the business</li> <li>– history of compliance, previous risk rating and any relevant information from recent interventions</li> <li>– hazards and risks</li> <li>– processes used</li> <li>– types of products present or produced</li> <li>– information or intelligence received about the business since last intervention</li> <li>– primary authority partnerships, inspection plans and primary authority advice</li> <li>– relevant information on the businesses' website</li> <li>– when it is appropriate to conduct the monitoring</li> </ul> </li> <li>• Prepare the necessary equipment and paperwork required to undertake the monitoring</li> </ul>
Conduct monitoring activities	<ul style="list-style-type: none"> <li>• Verify scope, ownership and management of the business</li> <li>• Conduct a risk-based monitoring activity, making assessments about whether the business is complying with applicable legal requirements through observation, questioning relevant individuals and review of records</li> <li>• Assess whether the business is applying good practice and identify opportunities for improvement</li> <li>• Gather and store relevant physical and digital information and materials in an appropriate manner and record in sufficient detail to support monitoring findings and so they can be admissible as evidence in court, if required</li> <li>• Respond appropriately to unexpected circumstances identified during the monitoring, if required and requesting assistance, where necessary</li> </ul>

<b>Ability to:</b>	<b>When undertaking this activity an individual must demonstrate they are able to:</b>
Take action to address any issues identified, including required follow-up action	<ul style="list-style-type: none"> <li>• Take appropriate and proportionate action in accordance with relevant policies and procedures, having regard to:               <ul style="list-style-type: none"> <li>– findings from the monitoring</li> <li>– potential risks to human and/or animal health posed by any issues identified</li> <li>– potential risks to the interests of the consumer and supply chain integrity posed by any issues identified</li> <li>– previous compliance history</li> <li>– relevant enforcement policies and the Food or Feed Law Codes of Practice or Manual for Official Controls, including the hierarchy of enforcement</li> </ul> </li> <li>• Notify appropriate persons, other than the business, of the findings and action taken following the monitoring in accordance with relevant policies and procedures</li> <li>• Take appropriate and proportionate follow-up action in accordance with relevant policies and procedures, to assess whether identified issues have been addressed</li> </ul>
Produce a written record of the outcomes of monitoring	<ul style="list-style-type: none"> <li>• Provide the business with a clearly written record in accordance with relevant legislation, policies and/or Food or Feed Law Code of Practice, which details:               <ul style="list-style-type: none"> <li>– the purpose of the monitoring</li> <li>– the outcomes of the monitoring</li> <li>– any action required, including where applicable, appropriate timescales</li> <li>– any recommendations, making a distinction between legal requirements and good practice</li> </ul> </li> </ul>

## Activity B10: Surveillance

Individuals undertaking the activity B10: Surveillance must be able to demonstrate the competencies for:

- A: Common competencies; and
- B10: Surveillance

### B10: Surveillance

Activity B10 covers conducting planned or reactive interventions to determine compliance of a food and/or feed businesses with applicable legislation.

It does not cover covert surveillance, which is covered in activity C1: Reactive investigations.

Knowledge and understanding of:	When undertaking this activity an individual must demonstrate knowledge and understanding of:
The outcomes following surveillance activities	<ul style="list-style-type: none"><li>• The range of potential formal enforcement and informal action following surveillance activities and the circumstances where they would be appropriate</li></ul>
Types of planned surveillance activities	<ul style="list-style-type: none"><li>• The differences between surveillance as a form of intervention and surveillance as an investigation technique</li><li>• The types of surveillance activities that could be used to assess compliance with legal requirements or application of good practice</li></ul>

Ability to:	When undertaking this activity an individual must demonstrate they are able to:
Plan surveillance activities	<ul style="list-style-type: none"><li>• Plan a risk-based surveillance activity having regard to:<ul style="list-style-type: none"><li>– the size, scope and ownership of the business</li><li>– history of compliance, previous risk rating and any relevant information from recent interventions</li><li>– hazards and risks</li><li>– processes used</li><li>– types of products present or produced</li><li>– information or intelligence received about the business since last intervention</li><li>– primary authority partnerships, inspection plans and primary authority advice</li><li>– relevant information on the businesses' website</li><li>– when it is appropriate to conduct the surveillance</li></ul></li><li>• Prepare the necessary equipment and paperwork required to undertake the surveillance</li></ul>

<b>Ability to:</b>	<b>When undertaking this activity an individual must demonstrate they are able to:</b>
Conduct surveillance activities	<ul style="list-style-type: none"> <li>• Verify scope, ownership and management of the business</li> <li>• Conduct a risk-based surveillance activity, making assessments about whether the business is complying with applicable legal requirements through observation, questioning relevant individuals and review of records</li> <li>• Assess whether the business is applying good practice and identify opportunities for improvement</li> <li>• Gather and store relevant physical and digital information and materials in an appropriate manner and record in sufficient detail to support surveillance findings and so they can be admissible as evidence in court, if required</li> <li>• Respond appropriately to unexpected circumstances identified during the surveillance, if required and requesting assistance, where necessary</li> </ul>
Take action to address any issues identified, including required follow-up action	<ul style="list-style-type: none"> <li>• Take appropriate and proportionate action in accordance with relevant policies and procedures, having regard to: <ul style="list-style-type: none"> <li>– findings from the surveillance</li> <li>– potential risks to human and/or animal health posed by any issues identified</li> <li>– potential risks to the interests of the consumer and supply chain integrity posed by any issues identified</li> <li>– previous compliance history</li> <li>– relevant enforcement policies and the Food or Feed Law Codes of Practice or Manual for Official Controls, including the hierarchy of enforcement</li> </ul> </li> <li>• Notify appropriate persons, other than the business, of the findings and action taken following the surveillance in accordance with relevant policies and procedures</li> <li>• Take appropriate and proportionate follow-up action in accordance with relevant policies and procedures, to assess whether identified issues have been addressed</li> </ul>

Ability to:	When undertaking this activity an individual must demonstrate they are able to:
Produce a written record of the outcomes of surveillance	<ul style="list-style-type: none"> <li>• Provide the business with a clearly written record in accordance with relevant legislation, policies and/or Food or Feed Law Code of Practice, which details: <ul style="list-style-type: none"> <li>– the purpose of the surveillance</li> <li>– the outcomes of the surveillance</li> <li>– any action required, including where applicable, appropriate timescales</li> <li>– any recommendations, making a distinction between legal requirements and good practice</li> </ul> </li> </ul>

## Activity B11: Alternative interventions

Individuals undertaking the activity B11: Alternative Interventions must be able to demonstrate the competencies for:

- A: Common competencies; and
- B11: Alternative interventions

### B11: Alternative interventions

Activity B11 covers conducting alternative interventions of low risk food businesses, for example sending questionnaires or surveys to businesses.

Knowledge and understanding of:	When undertaking this activity an individual must demonstrate knowledge and understanding of:
The outcomes following an alternative intervention	<ul style="list-style-type: none"> <li>• The range of potential formal enforcement and informal action following an alternative intervention and the circumstances where they would be appropriate</li> </ul>
The range of alternative interventions strategies	<ul style="list-style-type: none"> <li>• The types of alternative interventions that could be conducted and the businesses subject to them</li> <li>• The circumstances where another type of intervention would be more appropriate than an alternative intervention</li> </ul>

Ability to:	When undertaking this activity an individual must demonstrate they are able to:
Conduct alternative interventions at appropriate businesses	<ul style="list-style-type: none"> <li>• Verify scope, ownership and management of the business</li> <li>• Conduct risk-based alternative interventions in accordance with relevant plans and policies</li> <li>• Respond appropriately to unexpected circumstances identified during the alternative intervention, if required and requesting assistance, where necessary</li> </ul>

<b>Ability to:</b>	<b>When undertaking this activity an individual must demonstrate they are able to:</b>
Take action to address any issues identified, including required follow-up action	<ul style="list-style-type: none"> <li>• Take appropriate and proportionate action in accordance with relevant policies and procedures, having regard to: <ul style="list-style-type: none"> <li>– findings from the alternative intervention</li> <li>– potential risks to human health posed by any issues identified</li> <li>– potential risks to the interests of the consumer and supply chain integrity posed by any issues identified</li> <li>– previous compliance history</li> <li>– relevant enforcement policies and the Food or Feed Law Codes of Practice or Manual for Official Controls, including the hierarchy of enforcement</li> </ul> </li> <li>• Notify appropriate persons of the findings and action taken following the alternative intervention in accordance with relevant policies and procedures</li> <li>• Take appropriate and proportionate follow-up action in accordance with relevant policies and procedures, to assess whether identified issues have been addressed</li> </ul>

## C - Investigations, incidents and alerts

### Activity C1: Reactive investigations

Individuals undertaking the activity C1: Reactive Investigations must be able to demonstrate the competencies for:

- A: Common competencies; and
- C1: Reactive investigations

There are also reactive investigation sub-activities covering:

- C1.1: Preparing investigation files
- C1.2: Investigating food fraud and food crime
- C1.3: Investigating cases of food-borne illness
- C1.4: Investigating and reporting of feed and food incidents and receipt of alerts

To undertake a C1: Reactive investigations sub-activity, individuals must demonstrate the competencies for:

- A: Common competencies; and
- C1: Reactive investigations; and
- the specific sub-activity

#### C1: Reactive investigations

Activity C1 covers conducting reactive investigations into the compliance of food and/or feed businesses (including online businesses) with legislation. It includes investigations following an intervention, a complaint or receipt of other intelligence.

Knowledge and understanding of:	When undertaking this activity an individual must demonstrate knowledge and understanding of:
The reactive investigation process	<ul style="list-style-type: none"><li>• The process of conducting reactive investigations</li><li>• Relevant investigative techniques and the circumstances they would be appropriate</li><li>• Rules of evidence, including when a caution should be issued</li><li>• How to obtain, handle and store physical and digital information and materials, including documents, photographs and notes made during the investigation</li><li>• Other regulators that may be involved with investigations and the circumstances where an investigation may be referred to them or a dual investigation undertaken</li></ul>



<b>Ability to:</b>	<b>When undertaking this activity an individual must demonstrate they are able to:</b>
Conduct an investigation	<ul style="list-style-type: none"> <li>• Conduct an investigation to assess compliance with relevant legislation, in accordance with applicable legal requirements, codes of practice, policies and procedures, having regard to: <ul style="list-style-type: none"> <li>– the business type, products present and processes used</li> <li>– the issue being investigated, including relevant time limits</li> <li>– the information required and how it can be obtained</li> </ul> </li> <li>• Determine whether samples are required as part of the investigation, to confirm compliance with relevant legislation</li> <li>• Gather and store relevant physical and digital information and materials in an appropriate manner and record in sufficient detail to support investigation findings and so they can be admissible as evidence in court, if required</li> <li>• Assess the information and materials gathered during the investigation and determine their relevance to the issue being investigated</li> </ul>
Prepare statements detailing the account of the individual conducting the investigation	<ul style="list-style-type: none"> <li>• Prepare a witness statement(s) to provide their record of the events being investigated, having regard to the rules of evidence and applicable policies and procedures</li> </ul>

### **Sub-activity – C1.1: Preparing investigation files**

Sub-activity C1.1 covers the preparing of an investigation file or record as part of a reactive investigation, including the taking of witness statements and participating in interviews of suspects.

It does not cover the preparation of prosecution file, which is covered under sub-activity D3.1: Preparing prosecution files.

<b>Knowledge and understanding of:</b>	<b>When undertaking this activity an individual must demonstrate knowledge and understanding of:</b>
The role of victim personal statements and impact statements for businesses	<ul style="list-style-type: none"> <li>• The role of victim personal statements and impact statements for businesses in investigations and the circumstances where they would be appropriate</li> </ul>

<b>Knowledge and understanding of:</b>	<b>When undertaking this activity an individual must demonstrate knowledge and understanding of:</b>
The process of conducting interviews of suspects	<ul style="list-style-type: none"> <li>• The purpose of recorded interviews, the roles and responsibilities of the interviewers and the rights of the suspect being interviewed</li> <li>• The process for conducting written, audio or visually recorded interviews, including the use of prepared statements by suspects</li> <li>• The process for questioning suspects by letter</li> </ul>
The outcomes of an investigation	<ul style="list-style-type: none"> <li>• The range of potential formal and informal outcomes following an investigation and if relevant, the circumstances where they would be appropriate</li> </ul>

<b>Ability to:</b>	<b>When undertaking this activity an individual must demonstrate they are able to:</b>
Prepare an investigation file	<ul style="list-style-type: none"> <li>• Prepare an investigation file in accordance with relevant codes of practice, policies and procedures</li> </ul>
Take statements from witnesses	<ul style="list-style-type: none"> <li>• Identify potential witnesses and explain the witness statement process</li> <li>• Take statements from witnesses, taking into account the rules of evidence and in accordance with relevant policies and procedures</li> </ul>
Participate in recorded interviews of suspects	<ul style="list-style-type: none"> <li>• Plan for an interview considering: <ul style="list-style-type: none"> <li>– issues being investigated, including potential offences and defences</li> <li>– available evidence and matters that require clarification</li> <li>– requirements of the suspect</li> </ul> </li> <li>• Assess the materials and information gathered during investigation and determine what should be provided as part of pre-interview disclosure</li> <li>• Prepare necessary equipment and paperwork to undertake a recorded interview</li> <li>• Participate in a recorded interview whether visual, audio or written that is conducted in accordance with relevant codes of practice</li> </ul>

<b>Ability to:</b>	<b>When undertaking this activity an individual must demonstrate they are able to:</b>
Take action to address issues identified, including any required follow-up action	<ul style="list-style-type: none"> <li>• Take appropriate and proportionate action in accordance with relevant policies and procedures, having regard to: <ul style="list-style-type: none"> <li>– findings from the investigation</li> <li>– potential risks to human and/or animal health posed by any issues identified</li> <li>– potential risks to the interests of the consumer and supply chain integrity posed by any issues identified</li> <li>– previous compliance history</li> <li>– relevant enforcement policies and the Food or Feed Law Codes of Practice or Manual for Official Controls, including the hierarchy of enforcement</li> <li>– the hierarchy of enforcement</li> </ul> </li> <li>• Notify appropriate persons, other than the business, of the findings and action taken following the investigation in accordance with relevant policies and procedures</li> <li>• Take appropriate and proportionate follow-up action in accordance with relevant policies and procedures, to assess whether identified issues have been addressed</li> </ul>

### **Sub-activity – C1.2: Investigating food fraud and food crime**

Sub-activity C1.2 covers the investigation of food fraud and food crime, including the role of the National Food Crime Unit.

<b>Knowledge and understanding of:</b>	<b>When undertaking this activity an individual must demonstrate knowledge and understanding of:</b>
The types of food fraud and food crime and how to identify them	<ul style="list-style-type: none"> <li>• The difference between food fraud and food crime</li> <li>• The types of food fraud and food crime and how they can be identified</li> </ul>
The National Food Crime Unit	<ul style="list-style-type: none"> <li>• The role and objectives of the National Food Crime Unit and how to seek assistance</li> <li>• The information that should be reported to the National Food Crime Unit and how to do this</li> </ul>

### Sub-activity – C1.3: Investigating cases of food-borne illness

Sub-activity C1.3 covers investigating cases of food-borne illness, including outbreaks and the role of public health agencies.

Knowledge and understanding of:	When undertaking this activity an individual must demonstrate knowledge and understanding of:
Hazards that can cause food-borne illness	<ul style="list-style-type: none"><li>• Common and emerging biological and chemical hazards, including relevant sources and the appropriate controls to minimise risk of transmission and growth, if relevant</li></ul>
Public health agencies	<ul style="list-style-type: none"><li>• The role of public health agencies in a food-borne illness investigation, including outbreaks</li><li>• The information that should be reported to public health agencies and how to do this</li></ul>
Health protection	<ul style="list-style-type: none"><li>• The type of information to collect from those affected by food-borne illness</li><li>• The health protection advice to provide to those affected by food-borne illness</li><li>• Actions to be taken to protect public health, including where relevant, formally isolating, quarantining and/or excluding a person from work</li></ul>

### Sub-activity – C1.4: Investigating and reporting of incidents and receipt of alerts

Sub-activity C1.4 covers the investigation and reporting of food and/or feed incidents and the receipt of food and/or feed alerts.

Knowledge and understanding of:	When undertaking this activity an individual must demonstrate knowledge and understanding of:
Types of incidents and alerts	<ul style="list-style-type: none"><li>• The types of incidents that can compromise safety or quality and the action required to protect consumers</li><li>• The types of alert notifications issued by the Food Standards Agency</li><li>• The types of action that could be taken following an incident or alert, including withdrawals and recalls, the differences between them and the circumstances where they would be appropriate</li><li>• Where details of reported national and international incidents and alerts can be found</li></ul>
Reporting incidents	<ul style="list-style-type: none"><li>• The role of the Food Standards Agency when investigating incidents</li><li>• How and when an incident should be reported to the Food Standards Agency, including where relevant, the need to report food-borne outbreaks to public health agencies</li></ul>

Ability to:	When undertaking this activity an individual must demonstrate they are able to:
<p>Advise on action required to manage risks to human and/or animal health and assess implementation of any action taken</p>	<ul style="list-style-type: none"> <li>• Provide appropriate advice to assist with risk assessment, control measures and on any actions to take to manage risks to human and/or animal health, including withdrawal and recall, as required</li> <li>• Verify the business has: <ul style="list-style-type: none"> <li>– identified and removed affected products from sale and/or issued an appropriate consumer recall notification</li> <li>– rectified or disposed of products, as appropriate, in accordance with legal requirements and/or relevant Food or Feed Law Code of Practice or Manual for Official Controls</li> <li>– taken action in accordance with any advice issued by Food Standards Agency</li> </ul> </li> </ul>

## D - Enforcement

### Activity D1: Informal action

Individuals undertaking the activity D1: Informal Action must be able to demonstrate the competencies for:

- A: Common competencies; and
- D1: Informal action

#### D1: Informal action

Activity D1 covers informal action and voluntary procedures that may be used where issues are identified in food and/or feed businesses, including written warnings.

It does not cover:

- voluntary prohibitions and closures, which is covered in sub-activity D2.1: Emergency prohibition procedures; or
- voluntary surrender of products, which is covered in sub-activity D2.2: Detaining, seizing and voluntary surrender of products

Ability to:	When undertaking this activity an individual must demonstrate they are able to:
Identify when informal action is required and gather information to support the action	<ul style="list-style-type: none"><li>• Identify the circumstances where informal action would be appropriate and proportionate, having regard to:<ul style="list-style-type: none"><li>– potential risks to human and/or animal health</li><li>– potential risks to the interests of the consumer and supply chain integrity</li><li>– suspected food fraud or food crime</li><li>– previous compliance history</li><li>– relevant enforcement policies and the Food or Feed Law Codes of Practice or Manual for Official Controls, including the hierarchy of enforcement</li></ul></li><li>• Determine the most appropriate form of informal action to take</li><li>• Gather and store relevant physical and digital information and materials in an appropriate manner and record in sufficient detail to support the informal action and so they can be admissible as evidence in court, if required</li></ul>

<b>Ability to:</b>	<b>When undertaking this activity an individual must demonstrate they are able to:</b>
Take informal action to address any issues identified, including required follow-up action	<ul style="list-style-type: none"> <li>• Take appropriate and proportionate informal action, including provision of written warnings, in accordance with relevant policies and procedures</li> <li>• Notify appropriate persons, other than the business, of the informal action taken in accordance with relevant policies and procedures</li> <li>• Take appropriate and proportionate follow-up action in accordance with relevant policies and procedures to assess whether identified issues have been addressed</li> </ul>

## Activity D2: Formal enforcement action

Individuals undertaking the activity D2: Formal enforcement action must be able to demonstrate the competencies for:

- A: Common competencies; and
- D2: Formal enforcement action

There are also formal enforcement action sub-activities covering:

- D2.1: Emergency prohibition procedures
- D2.2: Detaining, seizing and voluntary surrender of products

To undertake a D2: Formal enforcement action sub-activity, individuals must demonstrate the competencies for:

- A: Common competencies; and
- D2: Formal enforcement action; and
- the specific sub-activity

### D2: Formal enforcement action

Activity D2 covers formal enforcement action that may be taken against a person in control of a food and/or feed business or the business itself where issues are identified, including use of formal notices.

<b>Knowledge and understanding of:</b>	<b>When undertaking this activity an individual must demonstrate knowledge and understanding of:</b>
The outcomes following formal enforcement action	<ul style="list-style-type: none"> <li>• The range of potential formal enforcement and informal action following formal enforcement action and the circumstances where they would be appropriate</li> </ul>
Appeal processes	<ul style="list-style-type: none"> <li>• The relevant appeal processes relating to formal notices and orders, including time limits to appeal, who hears the appeal and potential outcomes</li> </ul>

<b>Ability to:</b>	<b>When undertaking this activity an individual must demonstrate they are able to:</b>
Identify when formal enforcement action is required and gather information to support the action	<ul style="list-style-type: none"> <li>• Identify the circumstances where formal enforcement action would be appropriate and proportionate, having regard to: <ul style="list-style-type: none"> <li>– potential risks to human and/or animal health</li> <li>– potential risks to the interests of the consumer and supply chain integrity</li> <li>– suspected food fraud or food crime</li> <li>– previous compliance history</li> <li>– relevant enforcement policies and the Food or Feed Law Codes of Practice or Manual for Official Controls, including the hierarchy of enforcement</li> </ul> </li> <li>• Determine the most appropriate form of formal enforcement action to take</li> <li>• Gather and store relevant physical and digital information and materials in an appropriate manner and record in sufficient detail to support the formal enforcement action and so they can be admissible as evidence in court, if required</li> </ul>
Draft, serve and withdraw notices and orders	<ul style="list-style-type: none"> <li>• Identify appropriate person(s) to serve notices and orders on</li> <li>• In accordance with applicable legislation, policies, procedures, Food or Feed Law Code of Practice and guidance or Manual for Official Controls: <ul style="list-style-type: none"> <li>– draft notices</li> <li>– serve notices and orders</li> <li>– vary notices</li> <li>– withdraw notices and orders</li> </ul> </li> </ul>



<b>Ability to:</b>	<b>When undertaking this activity an individual must demonstrate they are able to:</b>
Take action to address any issues identified, including required follow-up action	<ul style="list-style-type: none"> <li>• Verify within appropriate timescales whether notices or orders have been complied with</li> <li>• Take appropriate and proportionate action in accordance with relevant policies and procedures, having regard to: <ul style="list-style-type: none"> <li>– potential risks to human and/or animal health posed by any issues identified</li> <li>– potential risks to the interests of the consumer and supply chain integrity posed by any issues identified</li> <li>– previous compliance history</li> <li>– relevant enforcement policies and the Food or Feed Law Codes of Practice or Manual for Official Controls, including the hierarchy of enforcement</li> </ul> </li> <li>• Notify appropriate persons, other than the business, of the formal enforcement action taken in accordance with relevant policies and procedures</li> <li>• Take appropriate and proportionate follow-up action in accordance with relevant policies and procedures, to assess whether identified issues have been addressed</li> </ul>

### **Sub-activity – D2.1: Prohibition procedures**

Sub-activity D2.1 covers the use of formal emergency prohibition notices that may be served on a food and/or feed business, including the process for obtaining an order.

It also covers the use of voluntary prohibitions and closures.

<b>Knowledge and understanding of:</b>	<b>When undertaking this activity an individual must demonstrate knowledge and understanding of:</b>
Imminent risk to health	<ul style="list-style-type: none"> <li>• What constitutes an imminent risk to human and/or animal health and the appropriate prohibition</li> </ul>
The procedure for voluntary prohibitions and closures	<ul style="list-style-type: none"> <li>• The circumstances where it is appropriate and proportionate for voluntarily prohibitions and closures to be used instead of formal prohibition procedures</li> <li>• The procedure for using voluntary prohibitions, including the written information that must be provided to the business</li> </ul>
The process for obtaining and lifting emergency prohibition orders and/or hygiene emergency prohibition orders	<ul style="list-style-type: none"> <li>• The process for obtaining and lifting an emergency prohibition order and/or hygiene emergency prohibition order, including evidence that may be required and the format for the hearing</li> <li>• Compensation provisions if the emergency prohibition order is refused or legal requirements not followed</li> </ul>

### Sub-activity – D2.2: Detaining, seizing and voluntary surrender of products

Sub-activity D2.2 covers the detention and seizure of food and/or feed and the process for having it condemned.

It also covers the voluntary surrender of food and/or feed.

Knowledge and understanding of:	When undertaking this activity an individual must demonstrate knowledge and understanding of:
The procedure for voluntary surrender of products	<ul style="list-style-type: none"><li>• The circumstances where it is appropriate and proportionate for products to be voluntarily surrendered instead of formally detained or seized</li><li>• The procedure for the voluntary surrender of products, including the written information that must be provided to the business</li></ul>
The process for detaining products	<ul style="list-style-type: none"><li>• The circumstances where products can be detained</li><li>• The process for detaining products and establishing their compliance with legal requirements</li><li>• Process for withdrawing detention, including compensation provisions</li></ul>
The process for seizing products and having them condemned	<ul style="list-style-type: none"><li>• The circumstances where products can be seized</li><li>• The process for seizing products and where relevant, obtaining a condemnation order, including evidence that may be required</li><li>• Compensation provisions if a condemnation order is refused</li></ul>
Arrangements for the storage and disposal of products	<ul style="list-style-type: none"><li>• The appropriate storage and disposal for seized, detained, voluntarily surrendered or condemned products having regard to:<ul style="list-style-type: none"><li>– relevant policies and procedures, including required evidence of disposal</li><li>– the nature and quantity of the products</li><li>– the potential risk to human and/or animal health</li></ul></li></ul>

## Activity D3: Prosecuting

Individuals undertaking the activity D3: Prosecuting must be able to demonstrate the competencies for:

- A: Common competencies; and
- D3: Prosecuting

There is also a prosecuting sub-activity covering:

- D3.1: Preparing prosecution files

To undertake the D3: Prosecuting sub-activity, individuals must demonstrate the competencies for:

- A: Common competencies; and
- D3: Prosecuting; and
- D3.1: Preparing prosecution files

### D3: Prosecuting

Activity D3 covers the legal process of prosecutions, including giving evidence in court.

Knowledge and understanding of:	When undertaking this activity an individual must demonstrate knowledge and understanding of:
Court proceedings and legal process	<ul style="list-style-type: none"><li>• The difference between criminal prosecutions and civil proceedings</li><li>• The courts involved in prosecution cases and the types of cases they hear</li><li>• The format of a prosecution cases, including the process of giving evidence</li><li>• Sentencing, including potential outcomes and use of sentencing guidelines, where available</li><li>• The appeals process and the circumstances in which one may be heard, including judicial reviews</li></ul>

### Sub-activity - D3.1: Preparing prosecution files

Sub-activity D3.1 covers the preparation of prosecution files including reviewing evidence, non-evidential materials and information for disclosure purposes.

It does not cover the preparation of investigation files, which is covered under sub-activity C1.1: Preparing investigation files.

Ability to:	When undertaking this activity an individual must demonstrate they are able to:
Prepare a prosecution file	<ul style="list-style-type: none"><li>• Prepare a prosecution file in accordance with relevant policies, procedures and legal requirements, including applicable time limits</li><li>• Evaluate the admissibility and reliability of evidence, assessing if there is a realistic prospect of conviction and prosecution is in the public interest</li><li>• Review non-evidential materials and information and assess disclosure requirements</li></ul>
Notify appropriate persons of the outcomes of the prosecution	<ul style="list-style-type: none"><li>• Notify appropriate persons of the outcomes of the prosecution in accordance with relevant policies and procedures, including the Food Standards Agency</li></ul>

## E - Specialist activities

### Activity E1: Operational management

Individuals undertaking the activity E1: Operational Management must be able to demonstrate the competencies for:

- A: Common competencies

There are also operational management sub-activities covering:

- E1.1: Developing, implementing, monitoring and reviewing documented policies, procedures and plans
- E1.2: Management of the response to an incident and alert
- E1.3: Collating and reporting data

To undertake an E1: Operational management sub-activity, individuals must demonstrate the competencies for:

- A: Common competencies; and
- the specific sub-activity

#### Activity – E1: Operational management

Activity E1 covers operational management activities including developing of operational documents, managing the responses to incidents or alerts and reporting of data to regulators and other organisations.

#### Sub-activity – E1.1: Developing, implementing, monitoring and reviewing internal operational documents

Sub-activity E1.1 covers the development, implementation, monitoring and review of internal documented policies, procedures, plans, programmes and strategies.

Knowledge and understanding of:	When undertaking this activity an individual must demonstrate knowledge and understanding of:
Other organisations that may have an impact on these documents, their remit and how to liaise with them	<ul style="list-style-type: none"><li>• The range of regulators, assurance schemes and other organisations that need to be considered when documents are being developed, implemented and/or reviewed, and their remits</li><li>• The circumstances when these organisations should be liaised and/or consulted with and how this should be done</li></ul>

Ability to:	When undertaking this activity an individual must demonstrate they are able to:
Develop and review documented policies, procedures, plans, programmes and/or strategies	<ul style="list-style-type: none"> <li>• Develop documented policies, procedures, plans, programmes and/or strategies having regard to: <ul style="list-style-type: none"> <li>– relevant legislation, codes of practice and guidance</li> <li>– the Framework Agreement on Official Feed and Food Controls by Local Authorities, where applicable</li> <li>– national, regional and local priorities</li> <li>– the types of businesses in their area and their risk profiles</li> <li>– the principles of good regulation</li> </ul> </li> <li>• Authorise or have authorised, documented policies, procedures, plans, programmes and/or strategies in accordance with relevant internal procedures</li> <li>• Review documents on a regular basis, when legislation or guidance changes and/or when issues with documents are identified and amend, if required</li> </ul>
Implement documented policies, procedures and plans	<ul style="list-style-type: none"> <li>• Implement documented policies, procedures, plans, programmes and/or strategies in accordance with relevant procedures, the Food or Feed Law Code of Practice and the Framework Agreement on Official Feed and Food Controls by Local Authorities, where applicable</li> <li>• Conduct risk-based internal monitoring and/or audits of the implementation of the policies, procedures, plans, programmes and/or strategies to ensure they are effective and applied appropriately, in accordance with relevant internal procedures</li> <li>• Take appropriate corrective action where the policies, procedures, plans, programmes and/or strategies are not being followed or applied inconsistently</li> <li>• Record relevant details of the internal monitoring, the outcomes and any corrective actions taken</li> </ul>

### Sub-activity – E1.2: Management of the response to an incident and alert

Sub-activity E1.2 covers the coordination and direction of the response to a food and/or feed incident or alert.

<b>Knowledge and understanding of:</b>	<b>When undertaking this activity an individual must demonstrate knowledge and understanding of:</b>
Other organisations that may interact with businesses	<ul style="list-style-type: none"><li>• The range of regulators, assurance schemes and other organisations that interact with businesses and their remits</li><li>• The circumstances when it is appropriate to refer matters to these organisations and how it should be done</li></ul>
Types of incidents and alerts	<ul style="list-style-type: none"><li>• The types of incidents that can compromise safety or quality and the action required to protect consumers</li><li>• The types of alert notifications issued by the Food Standards Agency</li><li>• Where details of reported national and international incidents and alerts can be found</li></ul>
Reporting incidents	<ul style="list-style-type: none"><li>• The role of the Food Standards Agency when investigating incidents</li><li>• How and when an incident should be reported to the Food Standards Agency, including where relevant, the need to report food-borne outbreaks to public health agencies</li></ul>

<b>Ability to:</b>	<b>When undertaking this activity an individual must demonstrate they are able to:</b>
Analyse details of incident or alert, plan, co-ordinate and direct an appropriate response	<ul style="list-style-type: none"><li>• Analyse details of incident or alert notification and determine an appropriate risk-based response considering the nature of the incident or alert and potential risks to human and/or animal health</li><li>• Plan, co-ordinate and direct the response to the incident or alert, including allocating appropriate resources</li><li>• Continue to assess the situation and risk to health and analyse the root cause of the incident or alert to determine whether to continue, escalate, de-escalate or close the response</li></ul>
Notify appropriate persons of findings and outcomes of incident or alert	<ul style="list-style-type: none"><li>• Notify appropriate persons of the findings and outcomes of the incident or alert in accordance with relevant policies and procedures, including the Food Standards Agency</li></ul>

### Sub-activity – E1.3: Collating and reporting data

Sub-activity E1.3 covers the collation and reporting of data to regulators and other organisations.

Knowledge and understanding of:	When undertaking this activity an individual must demonstrate knowledge and understanding of:
Organisations that require data to be reported, the data required and how to submit it	<ul style="list-style-type: none"><li>• The range of regulators and other organisations, locally and nationally, that require data to be reported to them</li><li>• Data required and how it is submitted</li><li>• How to liaise with these regulators and organisations if issues with reporting are identified</li></ul>

Ability to:	When undertaking this activity an individual must demonstrate they are able to:
Collate accurate data	<ul style="list-style-type: none"><li>• Collate data from relevant sources to meet the requirements of a data request and verify its accuracy before submission</li><li>• Submit data in an appropriate format and within required timescales, seeking authorisation, if required</li></ul>



## Activity E2: Import controls

Individuals undertaking the activity E2: Import Controls must be able to demonstrate the competencies for:

- A: Common competencies; and
- E2: Import controls

There are also import controls sub-activities covering:

- E2.1: Import controls at points of entry
- E2.2: Import controls for fishery products
- E2.3: Inland import controls

To undertake an E2: Import controls sub-activity, individuals must demonstrate the competencies for:

- A: Common competencies; and
- E2: Import controls; and
- the specific sub-activity

### E2: Import controls

Activity E2 covers import controls conducted at points of entry and inland.

Knowledge and understanding of:	When undertaking this activity an individual must demonstrate knowledge and understanding of:
Import controls	<ul style="list-style-type: none"><li>• The types of imported products subject to import controls and the appropriate point of entry</li><li>• The process of receiving, assessing and certifying imported products at points of entry, including documentary, identity and physical checks</li><li>• Where details of current or emerging national and international food and feed safety concerns can be found</li></ul>
The outcomes of import controls	<ul style="list-style-type: none"><li>• The range of potential formal enforcement and informal action following import controls and the circumstances where they would be appropriate</li></ul>
Arrangements for the storage and disposal of products	<ul style="list-style-type: none"><li>• The appropriate storage and disposal of rejected imported food and/or feed products having regard to:<ul style="list-style-type: none"><li>– relevant policies and procedures, including required evidence of disposal</li><li>– the nature and quantity of the products</li><li>– the potential risk to human and/or animal health</li></ul></li></ul>

<b>Ability to:</b>	<b>When undertaking this activity an individual must demonstrate they are able to:</b>
Take action to address any issues identified, including required follow-up action	<ul style="list-style-type: none"> <li>• Take appropriate and proportionate action in accordance with relevant policies and procedures, having regard to: <ul style="list-style-type: none"> <li>– findings from the import control</li> <li>– potential risks to human and/or animal health posed by any issues identified</li> <li>– potential risks to the interests of the consumer and supply chain integrity posed by any issues identified</li> <li>– previous compliance history</li> <li>– relevant enforcement policies and the Food or Feed Law Codes of Practice or Manual for Official Controls, including the hierarchy of enforcement</li> </ul> </li> <li>• Notify appropriate persons, other than the business, of the findings and action taken following the import control in accordance with relevant policies and procedures</li> <li>• Take appropriate and proportionate follow-up action in accordance with relevant policies and procedures, to assess whether identified issues have been addressed</li> </ul>

## **E2.1: Import controls at points of entry**

Sub-activity E2.1 covers import controls conducted at points of entry for:

- products of animal origin
- high risk food and feed not of animal origin
- high risk food contact materials

<b>Knowledge and understanding of:</b>	<b>When undertaking this activity an individual must demonstrate knowledge and understanding of:</b>
Hazards that can pose a risk to human and/or animal health	<ul style="list-style-type: none"> <li>• Common and emerging biological, chemical, physical and allergenic hazards and the appropriate control measures</li> </ul>
Systems to receive and exchange information related to imported products	<ul style="list-style-type: none"> <li>• IT systems used to receive and exchange information relating to imported products and how to use them</li> <li>• When a rejected consignment should be reported to other Border Control Posts and the details required</li> </ul>

Ability to:	When undertaking this activity an individual must demonstrate they are able to:
Conduct import controls	<ul style="list-style-type: none"> <li>• Review entry documentation and verify the details provided</li> <li>• Consider the hazards and risks associated with the product, country of origin and any information or intelligence received about the consignment, the importer, the exporter and/or other businesses involved with the importation process</li> <li>• Prepare any necessary equipment and paperwork to undertake the import control</li> <li>• Conduct all necessary checks, including sampling, making assessments about whether the business is complying with applicable legal requirements</li> <li>• Gather and store relevant physical and digital information and materials in an appropriate manner and record in sufficient detail to support import control findings and so they can be admissible as evidence in court, if required</li> <li>• Respond appropriately to unexpected circumstances identified during the import controls, if required and requesting assistance, where necessary</li> </ul>
Produce a written record of the import controls	<ul style="list-style-type: none"> <li>• Provide the business with a common health entry document in accordance with legal requirements, which details the outcomes of the import control</li> </ul>

## Sub-activity – E2.2: Import controls for fishery products

Sub-activity E2.2 covers import controls conducted on fishery products and live bivalve molluscs at points of entry.

In this sub-activity the term “fishery products” includes:

- crustaceans, including prawns, lobsters, crayfish, crabs and shrimps
- cephalopods, including octopus, squid and cuttlefish
- aquaculture products, including farmed salmon, trout, prawns and shrimps
- tunicates, including sea squirts
- echinoderms, including sea urchins and sea cucumbers
- gastropods, including whelks, winkles and abalone
- fish oils for human consumption

The term, “live bivalve molluscs” includes:

- oysters
- mussels
- clams
- cockles
- scallops

Knowledge and understanding of:	When undertaking this activity an individual must demonstrate knowledge and understanding of:
Hazards that can pose a risk to human health	<ul style="list-style-type: none"><li>• Common and emerging biological, chemical, physical and allergenic hazards relating to fishery products and the appropriate control measures</li></ul>
Systems to receive and exchange information related to imported products	<ul style="list-style-type: none"><li>• IT systems used to receive and exchange information relating to imported products and how to use them</li><li>• When a rejected consignment should be reported to other Border Control Posts and the details required</li></ul>

Ability to:	When undertaking this activity an individual must demonstrate they are able to:
Identify fishery products	<ul style="list-style-type: none"><li>• Identify species of fishery products using appropriate methods, examples include visual and physical assessments</li></ul>
Determine if fishery products are safe and fit for human consumption	<ul style="list-style-type: none"><li>• Determine whether fishery products are safe and fit for human consumption using appropriate assessment methods, examples include visual and physical assessments</li></ul>

<b>Ability to:</b>	<b>When undertaking this activity an individual must demonstrate they are able to:</b>
Conduct import controls	<ul style="list-style-type: none"> <li>• Review entry documentation and verify the details provided</li> <li>• Consider the hazards and risks associated with the product, country of origin and any information or intelligence received about the consignment, the importer, the exporter and/or other businesses involved with the importation process</li> <li>• Prepare any necessary equipment and paperwork to undertake the import control</li> <li>• Conduct all necessary checks, making assessments about whether the business is complying with applicable legal requirements</li> <li>• Gather and store relevant physical and digital information and materials in an appropriate manner and record in sufficient detail to support import control findings and so they can be admissible as evidence in court, if required</li> <li>• Respond appropriately to unexpected circumstances identified during the import controls, if required and requesting assistance, where necessary</li> </ul>
Produce a written record of the import controls	<ul style="list-style-type: none"> <li>• Provide the business with a common health entry document in accordance with legal requirements, which details the outcomes of the import control</li> </ul>

### **E2.3: Inland import controls**

Sub-activity E2.3 covers the assessment of imported food and/or feed products inland to determine whether they comply with applicable legal requirements.

<b>Ability to:</b>	<b>When undertaking this activity an individual must demonstrate they are able to:</b>
Assess whether imported products comply with legal requirements	<ul style="list-style-type: none"> <li>• Identify imported products and assess whether they comply with applicable legal requirements using appropriate methods of assessment, examples include visual assessment and documentation review</li> <li>• Determine whether samples are required to confirm that products comply with legal requirements</li> <li>• Gather and store relevant physical and digital information and materials in an appropriate manner and record in sufficient detail to support assessment findings and so they can be admissible as evidence in court, if required</li> </ul>

<b>Ability to:</b>	<b>When undertaking this activity an individual must demonstrate they are able to:</b>
Produce a written record of the outcomes of the assessment	<ul style="list-style-type: none"> <li>• Provide the business with a clearly written record in accordance with relevant legislation, policies and/or Food or Feed Law Code of Practice, which details: <ul style="list-style-type: none"> <li>– the purpose of the assessment</li> <li>– the outcomes of the assessment</li> <li>– any action required, including where applicable, appropriate timescales</li> <li>– any recommendations, making a distinction between legal requirements and good practice</li> </ul> </li> </ul>

### Activity E3: Export controls

Individuals undertaking the activity E3: Export controls must be able to demonstrate the competencies for:

- A: Common competencies; and
- E3: Export controls

#### E3: Export controls

Activity E3 covers the assessment of export certification for food and/or feed.

It does not apply to individuals issuing Official Export Health Certificates on behalf of the Animal and Plant Health Agency (APHA) or the Department of Agriculture, Environment and Rural Affairs (DAERA), who are responsible for the competency requirements for this type of certification.

<b>Knowledge and understanding of:</b>	<b>When undertaking this activity an individual must demonstrate knowledge and understanding of:</b>
Hazards that can pose a risk to human and/or animal health	<ul style="list-style-type: none"> <li>• Common and emerging biological, chemical, physical and allergenic hazards and the appropriate control measures</li> </ul>
Assessing export certification	<ul style="list-style-type: none"> <li>• Types of export certification and the information required to complete it by the appropriate issuing authority, having regards to applicable FSA guidance</li> <li>• The process for assessing export certification for food and/or feed</li> </ul>

<b>Ability to:</b>	<b>To undertake this activity an individual must demonstrate they are able to:</b>
Assess requests for export certification	<ul style="list-style-type: none"> <li>• Review requests for export certification and undertake all appropriate checks required to make a suitable and sufficient assessment</li> <li>• Gather and store relevant physical and digital information and materials in an appropriate manner and record in sufficient detail to support the assessment, so they can be admissible as evidence if required</li> </ul>
Produce a written record of the outcome of the checks	<ul style="list-style-type: none"> <li>• Provide the business with a written record which details the outcome of the assessment for export certification</li> </ul>

### Activity E4: Assessing industry assurance of compliance

Individuals undertaking the activity E4: Assessing industry assurance of compliance must be able to demonstrate the competencies for:

- A: Common competencies; and
- E4: Assessing industry assurance of compliance

#### E4: Assessing industry assurance of compliance

Activity E4 covers the verification of a business's own data obtained for assurance of compliance – business assurance data – and other compliance data where this is relevant.

This includes Primary Authority assessment of business assurance data as part of a national inspection strategy.

It does not apply to business data for assessing earned recognition.

<b>Knowledge and understanding of:</b>	<b>When undertaking this activity an individual must demonstrate knowledge and understanding of:</b>
FSA recognised or approved industry assurance approaches	<ul style="list-style-type: none"> <li>• The approaches that have been recognised or approved by the FSA to provide industry assurance of compliance and how business compliance data informs this</li> <li>• How approaches are recognised or approved and the requirements that must be met</li> </ul>
Sources and types of business compliance data	<ul style="list-style-type: none"> <li>• The sources of business compliance data</li> <li>• The types of data that can be obtained from businesses and its value in assessing business compliance</li> </ul>

<b>Ability to:</b>	<b>When undertaking this activity an individual must demonstrate they are able to:</b>
Verify data	<ul style="list-style-type: none"> <li>• Gather and store relevant physical and digital information and materials in an appropriate manner and record in sufficient detail to support the assessment of industry assurance of compliance</li> <li>• Verify data by: <ul style="list-style-type: none"> <li>– reviewing and assessing its suitability and sufficiency to determine business compliance</li> <li>– analysing it using appropriate methods to identify any issues and whether the business has complied with applicable legal requirements</li> </ul> </li> <li>• Assess good practice and identify opportunities for improvement</li> </ul>
Take action to address any issues identified, including required follow-up action	<ul style="list-style-type: none"> <li>• Take appropriate and proportionate action in accordance with relevant policies and procedures, having regard to: <ul style="list-style-type: none"> <li>– findings from the verification of data</li> <li>– potential risks to human and/or animal health posed by any issues identified</li> <li>– potential risks to the interests of the consumer and supply chain integrity posed by any issues identified</li> <li>– previous compliance history for the business</li> <li>– relevant enforcement policies and the Food or Feed Law Codes of Practice or Manual for Official Controls, including the hierarchy of enforcement</li> </ul> </li> <li>• Notify appropriate persons of the findings and action taken following the assessment of the businesses compliance data in accordance with relevant policies and procedures</li> <li>• Take appropriate and proportionate follow-up action in accordance with relevant policies and procedures, to assess whether identified issues have been addressed</li> </ul>



## Activity E5: Supporting and contributing to external audits

Individuals undertaking the activity E5: Supporting and contributing to external audits must be able to demonstrate the competencies for:

- A: Common competencies; and
- E5: Supporting and contributing to external audits

### E5: Supporting and contributing to external audits

Activity E5 covers supporting and contributing to external audits of internal policies and procedures, including audits conducted by the Food Standards Agency, other authorities, international organisations and other countries.

Knowledge and understanding of:	When undertaking this activity an individual must demonstrate knowledge and understanding of:
Organisations that conduct third party audits and their remits	<ul style="list-style-type: none"><li>• The range of regulators and other organisations that conduct external audits and their remits</li></ul>
The audit process	<ul style="list-style-type: none"><li>• The audit process, including the roles and responsibilities of auditees and when corrective actions may be required</li></ul>

## Activity E6: Shellfish environmental monitoring

Individuals undertaking the activity E6: Shellfish environmental monitoring must be able to demonstrate the competencies for:

- A: Common competencies; and
- E6: Shellfish environmental monitoring

### E6: Shellfish environmental monitoring

Activity E6 covers the taking of shellfish samples for environmental monitoring of classified shellfish production and relaying areas.

Knowledge and understanding of:	When undertaking this activity an individual must demonstrate knowledge and understanding of:
The role of sampling, the process and other organisations involved	<ul style="list-style-type: none"><li>• The role of sampling in establishing compliance of classified shellfish production and relaying areas</li><li>• The role of testing laboratories</li><li>• Other organisations involved with shellfish environmental monitoring, their remits and the circumstances when it is appropriate to refer matters to them and/or liaise with them, including how it should be done</li></ul>

<b>Knowledge and understanding of:</b>	<b>When undertaking this activity an individual must demonstrate knowledge and understanding of:</b>
The outcomes following shellfish environmental monitoring	<ul style="list-style-type: none"> <li>• The range of potential formal and informal actions following shellfish environmental monitoring and the circumstances where they would be appropriate, including serving temporary closure notices of harvesting areas</li> </ul>

<b>Ability to:</b>	<b>When undertaking this activity an individual must demonstrate they are able to:</b>
Take shellfish environmental monitoring samples	<ul style="list-style-type: none"> <li>• Take representative shellfish samples from classified production and relaying areas in accordance with relevant legislation, policies, procedures, Food Law Code of Practice, Practice Guidance and the protocol for collection and transport of shellfish samples</li> <li>• Store, transport and submit samples to a laboratory using the appropriate procedure, ensuring that the integrity of the samples is maintained</li> </ul>
Take action to address any issues identified, including required follow-up action	<ul style="list-style-type: none"> <li>• Take appropriate and proportionate action in accordance with relevant policies and procedures, having regard to: <ul style="list-style-type: none"> <li>– findings from the shellfish environmental monitoring</li> <li>– potential risks to human and/or animal health posed by any issues identified</li> <li>– previous compliance history</li> <li>– the Food Law Code of Practice</li> </ul> </li> <li>• Notify appropriate persons of the findings and action taken following the shellfish environmental monitoring in accordance with relevant policies and procedures</li> <li>• Take appropriate and proportionate follow-up action in accordance with relevant policies and procedures, to assess whether identified issues have been addressed</li> </ul>

## Activity E7: Assessing businesses using specific processing methods

Individuals undertaking the activity E7: Assessing businesses using specific processing methods must be able to demonstrate the competencies for:

- the specific sub-activity

They must also be able to demonstrate the A: Common competencies and the competencies for other relevant activities and sub-activities which will be undertaken at the same time as the assessment of the specific processing method, for example inspections.

### E7: Assessing Businesses Using Specific Processing Methods

Activity E7 covers the assessment of specific complex and/or high-risk processing methods used by food businesses.

Knowledge and understanding of:	When undertaking this activity an individual must demonstrate knowledge and understanding of:
Legislation, codes of practice, guidance, and industry best practice	<ul style="list-style-type: none"><li>• The legislation, including significant case law and associated codes of practice, which are applicable to businesses using the process</li><li>• Government guidance, including instructions and advice from the FSA, which are applicable to businesses using the process</li><li>• Industry guidance, including guides to good practice, which are applicable to the business using the process</li><li>• International guidance, which is applicable to the business using the process</li></ul>
The technologies and processes used by businesses	<ul style="list-style-type: none"><li>• Common and emerging processing methods and technologies used by businesses</li></ul>
Hazards that can pose a risk to health	<ul style="list-style-type: none"><li>• Biological, chemical, physical and allergenic hazards relating to the process and the appropriate control measures</li></ul>

### Food processes

Sub-activity	Type of food process	Description of food process
E7.1	Canning	Canning is the process of placing food into containers and securely sealing them
E7.2	Aseptic packing	Aseptic packing is the process of producing and packing foods under sterile conditions
E7.3	Pasteurisation and sterilisation	Pasteurisation and sterilisation is the process of heat treating foods to specific temperatures

<b>Sub-activity</b>	<b>Type of food process</b>	<b>Description of food process</b>
E7.4	Cook-chill	Cook-chill is the process of large scale cooking, rapid cooling and controlled chilled storage of food
E7.5	Vacuum packing and modified atmosphere packaging	<p>Vacuum packing is the process of packing food to remove air from the packaging prior to creating an airtight seal</p> <p>Modified atmosphere packaging is the process of packing food with a mixture of gases to reduce the level of oxygen</p>
E7.6	Sous vide	Sous vide is the process of cooking food at low temperatures for long periods
E7.7	Air drying	Air drying is the process of removing water from food
E7.8	Freeze drying	Freeze drying is the process of freezing food and applying a vacuum to it to remove the water
E7.9	Cold smoking	Cold smoking is the process of flavouring or preserving food by exposing it to smoke at low temperatures
E7.10	Depuration	Depuration is the process of purification where filter feeding shellfish are placed into a clean water environment to remove biological and physical hazards

## Activity E8: Assessing businesses producing specific products

Individuals undertaking the activity E8: Assessing businesses producing specific products must be able to demonstrate the competencies for:

- the specific sub-activity

They must also be able to demonstrate the A: Common competencies and the competencies for other relevant activities and sub-activities which will be undertaken at the same time as the assessment of the specific products, for example inspections.

### E8: Assessing businesses producing specific products

Activity E8 covers the assessment of specific high-risk products.

Knowledge and understanding of:	When undertaking this activity an individual must demonstrate knowledge and understanding of:
Legislation, codes of practice, guidance, and industry best practice	<ul style="list-style-type: none"><li>• The legislation, including significant case law and associated codes of practice, which are applicable to the specific product(s)</li><li>• Government guidance, including instructions and advice from the FSA, which are applicable to the specific products(s)</li><li>• Industry guidance, including guides to good practice, which are applicable to the specific product(s)</li><li>• International guidance, which is applicable to the specific product(s)</li></ul>
Hazards that can pose a risk to human and/or animal health	<ul style="list-style-type: none"><li>• Biological, chemical, physical and allergenic hazards relating to the specific product(s) and the appropriate control measures</li></ul>

### Products

Sub-activity	Type of product	Description of product
E8.1	Ready-to-eat food produced by manufacturers	Foods that will not be cooked or reheated before being eaten, which have been produced by manufacturers
E8.2	Products of animal origin intended to be eaten raw or less than thoroughly cooked	Products of animal origin intended to be eaten raw or less than thoroughly cooked, for example less than thoroughly cooked burgers
E8.3	Food produced using fermentation	Foods produced using fermentation, for example kimchi and kefir

Sub-activity	Type of product	Description of product
E8.4	Raw pet food produced by manufacturers	Pet food that contains animal by products which have not undergone any preserving process other than chilling or freezing, which have been produced by manufacturers

## Activity E9: Approval of businesses

Individuals undertaking the activity E9: Approval of businesses must be able to demonstrate the competencies for:

- A: Common competencies; and
- E9: Approval of businesses competencies as they apply to each specific sub-activity

### E9: Approval of businesses

Activity E9 covers the approval of food and/or feed businesses and the review of their approvals.

If a business is exempt from approval for the sub-activities in E9: Approval of businesses, an individual must instead be able to demonstrate the competencies for:

- B1: Inspecting businesses; or
- B2: Auditing

Knowledge and understanding of:	When undertaking this activity an individual must demonstrate knowledge and understanding of:
Hazards that can pose a risk to human and/or animal health	<ul style="list-style-type: none"> <li>• Common and emerging biological, chemical, physical and allergenic hazards relating to the activities of the business seeking approval or for the approval being reviewed, and the appropriate control measures</li> </ul>
The technologies and processes used by businesses	<ul style="list-style-type: none"> <li>• Common process methods and technologies used by businesses, including the hazards and risks associated with them. There are competencies for specific high-risk and/or complex processes in activity E7.</li> </ul>

<b>Knowledge and understanding of:</b>	<b>When undertaking this activity an individual must demonstrate knowledge and understanding of:</b>
The approval process and the review of an approval	<ul style="list-style-type: none"> <li>• The purpose of approval, the products and activities that require approval, and the Authority responsible for granting the approval</li> <li>• The process of approving businesses, including legal timescales and circumstances where it is appropriate to grant conditional or full approval or refuse approval</li> <li>• How to notify the Food Standards Agency when: <ul style="list-style-type: none"> <li>– conditional approval or full approval is recommended, if applicable</li> <li>– conditional approval or full approval is granted</li> <li>– where approval is suspended or withdrawn</li> </ul> </li> <li>• The process when a change to an approval may be required</li> <li>• Approval numbers, health and identification marks and how to apply these to relevant products</li> </ul>
The outcomes of approving businesses or reviewing approvals	<ul style="list-style-type: none"> <li>• The range of potential formal enforcement and informal action when approving businesses or reviewing approvals and the circumstances where they would be appropriate, including suspension and withdrawal of approvals</li> </ul>
Food Hygiene Rating Scheme	<ul style="list-style-type: none"> <li>• Where applicable to the approval and/or review of an approval, the operation of the Food Hygiene Rating Scheme as set out in relevant legislation, including statutory guidance, or in the brand standard, including: <ul style="list-style-type: none"> <li>– the purpose and scope of the scheme</li> <li>– how to calculate a rating and when it will be published on the FSA website</li> <li>– appeal procedures, the right to reply, requests for re-inspection and early publication</li> <li>– requirements to display ratings, and the action that may be taken for non-display, where relevant</li> <li>– the consequences of displaying an incorrect rating at the business, online or on promotional materials</li> </ul> </li> </ul>

<b>Ability to:</b>	<b>When undertaking this activity an individual must demonstrate they are able to:</b>
Assess an application for approval	<ul style="list-style-type: none"> <li>• Assess application and verify: <ul style="list-style-type: none"> <li>– the activity approval is being applied for and whether it requires approval</li> <li>– the Authority responsible for granting the approval</li> <li>– that all relevant information has been received</li> <li>– whether any exemptions apply</li> </ul> </li> <li>• Provide pre-approval advice, where relevant</li> </ul>
Plan an on-site visit	<ul style="list-style-type: none"> <li>• Plan a risk-based on-site visit to determine the application for approval or to review an approval, having regard to: <ul style="list-style-type: none"> <li>– the size, scope and ownership of the business</li> <li>– history of compliance, previous risk rating and any relevant information from recent interventions</li> <li>– hazards and risks</li> <li>– processes used</li> <li>– types of products present or produced</li> <li>– information or intelligence received about the business since last intervention</li> <li>– primary authority partnerships, inspection plans and primary authority advice</li> <li>– relevant information on the businesses' website</li> <li>– when it is appropriate to conduct the on-site visit</li> </ul> </li> <li>• Prepare the necessary equipment and paperwork required to undertake the on-site visit</li> </ul>
Conduct an on-site visit	<ul style="list-style-type: none"> <li>• Verify ownership and management of the business</li> <li>• Verify the scope of the business and the approval(s) required</li> <li>• Conduct a risk-based on-site visit making assessments about whether the business is complying with applicable legal requirements, through observations, questioning relevant individuals and review of records, including mass balance checks where applicable</li> <li>• Assess whether the business is applying good practice and identify opportunities for improvement</li> <li>• Gather and store relevant physical and digital information and materials in an appropriate manner and record in sufficient detail to support on-site visit findings and so they can be admissible as evidence in court, if required</li> <li>• Respond appropriately to unexpected circumstances identified during the on-site visit, if required and requesting assistance, where necessary</li> </ul>



Ability to:	When undertaking this activity an individual must demonstrate they are able to:
Assess food safety or feed safety management systems	<ul style="list-style-type: none"> <li>• Review pre-requisites and assess their suitability and sufficiency</li> <li>• Assess whether the business has put in place, implemented and maintained a template or bespoke food safety management system, which:               <ul style="list-style-type: none"> <li>– is based on HACCP principles and applicable legislation</li> <li>– is suitable for the nature and size of the business and reflects applicable flexibilities</li> <li>– has been reviewed and amended if required to reflect changes made to products, processes or business activities</li> </ul> </li> </ul>
Take action to address any issues identified, including required follow-up action	<ul style="list-style-type: none"> <li>• Take appropriate and proportionate action in accordance with relevant policies and procedures, having regard to:               <ul style="list-style-type: none"> <li>– findings from the on-site visit</li> <li>– potential risks to human and/or animal health posed by any issues identified</li> <li>– potential risks to the interests of the consumer and supply chain integrity posed by any issues identified</li> <li>– previous compliance history</li> <li>– relevant enforcement policies and the Food or Feed Law Codes of Practice or Manual for Official Controls, including the hierarchy of enforcement</li> </ul> </li> <li>• Notify appropriate persons, other than the business, of the findings and action taken following the on-site visit in accordance with relevant policies and procedures</li> <li>• Take appropriate and proportionate follow-up action in accordance with relevant policies and procedures, to assess whether identified issues have been addressed</li> </ul>

<b>Ability to:</b>	<b>When undertaking this activity an individual must demonstrate they are able to:</b>
Produce a written record of the outcomes of the assessment for approval or review of approval	<ul style="list-style-type: none"> <li>• Provide the business with a clearly written record in accordance with relevant legislation, policies and/or Food or Feed Law Code of Practice which details: <ul style="list-style-type: none"> <li>– the purpose of the on-site visit</li> <li>– the outcomes of the on-site visit</li> <li>– any action required, including where applicable, appropriate timescales</li> <li>– any recommendations, making a distinction between legal requirements and good practice</li> </ul> </li> <li>• Provide the business with a written record of their approval status, including the approval code and any conditions that apply, in accordance with relevant policies, procedures and/or Food or Feed Law Codes of Practice or Manual for Official Controls</li> <li>• Generate an appropriate risk rating to inform the frequency of the next intervention, where applicable</li> <li>• Generate an appropriate food hygiene rating score, where applicable</li> </ul>

### **Business activities subject to approval**

<b>Meat</b>		
<b>Sub-activity</b>	<b>Business Type</b>	<b>Product and/or Process</b>
E9.1	Cutting plant	Bovine
E9.2	Cutting plant	Ovine
E9.3	Cutting plant	Caprine
E9.4	Cutting plant	Porcine
E9.5	Cutting plant	Horses
E9.6	Cutting plant	Chickens, hens and broilers
E9.7	Cutting plant	Turkeys
E9.8	Cutting plant	Ducks
E9.9	Cutting plant	Geese
E9.10	Cutting plant	Guinea fowl
E9.11	Cutting plant	Quails
E9.12	Cutting plant	Pigeons
E9.13	Cutting plant	Ostrich, rhea and emu
E9.14	Cutting plant	Large wild game
E9.15	Cutting plant	Small wild game
E9.16	Cutting plant	Farmed game
E9.17	Minced meat establishment	Production of minced meat
E9.18	Meat preparations establishment	Production of meat preparations
E9.19	Mechanically separated meat establishment	Production of mechanically separated meat

<b>Sub-activity</b>	<b>Business Type</b>	<b>Product and/or Process</b>
E9.20	Processing plant	Meat products (to be cooked before eating)
E9.21	Processing plant	Ready-to-eat meat products
E9.22	Processing plant	Rendered animal fats and greaves
E9.23	Processing plant	Treated stomach, bladders, intestines
E9.24	Processing plant	Gelatine
E9.25	Processing plant	Collagen
E9.26	Processing plant	Frogs' legs and snails

### **Fishery Products and Live Bivalve Molluscs**

<b>Sub-Activity</b>	<b>Business Type</b>	<b>Product and/or Process</b>
E9.27	Processing plant	Fishery products
E9.28	Factory vessel	Processing of fishery products on board the vessel
E9.29	Freezing vessel	Freezing of fishery products on board the vessel
E9.30	Fresh fishery products plant	Handling of unprocessed fishery products
E9.31	Auction hall	Storing and displaying of fishery products
E9.32	Dispatch centre	Reception, conditioning, washing, cleaning, grading, wrapping and packing, where applicable of: <ul style="list-style-type: none"> <li>– live bivalve molluscs;</li> <li>– marine gastropods including whelks, winkles and abalones;</li> <li>– echinoderms including sea urchins, sea cucumbers; and</li> <li>– tunicates including sea squirts</li> </ul>
E9.33	Purification centre	Purification of live bivalve molluscs

### **Milk and Dairy Products**

<b>Sub-Activity</b>	<b>Business Type</b>	<b>Product and/or Process</b>
E9.34	Processing plant	Raw milk
E9.35	Processing plant	Dairy products
E9.36	Collection centre	Collection of raw milk

### **Egg and Egg Products**

<b>Sub-Activity</b>	<b>Business Type</b>	<b>Product and/or Process</b>
E9.37	Processing plant	Egg products
E9.38	Packing centre	Eggs
E9.39	Liquid egg plant	Handling of unprocessed liquid egg

### Products of Animal Origin

Sub-Activity	Business Type	Product and/or Process
E9.40	Cold store	Storage of products of animal origin (processed or unprocessed)
E9.41	Re-wrapping/repackaging establishments	Re-wrapping and/or repackaging of products of animal origin (processed or unprocessed)
E9.42	Wholesale market	Shared space where product of animal origin are sold

### Sprouts and Seeds

Sub-Activity	Business Type	Product and/or Process
E9.43	Producers of sprouts and seeds	Sprouts and seeds intended for sprouting

### Animal Feed

Sub-Activity	Business Type	Product and/or Process
E9.44	Manufacturers or businesses selling products within feed approval codes A1- A4	Relevant nutritional, zootechnical, antioxidant and colorant additives
E9.45	Manufacturers or businesses selling products within feed approval codes A5- A6	Relevant proteins from micro-organisms and co-products from the fermentation of amino acids
E9.46	Manufacturers or businesses selling products within feed approval codes A7- A8	Premixtures containing vitamins A or D, copper or selenium
E9.47	Manufacturers or businesses selling products within feed approval code A11	Products derived from vegetable oils and blended fats