# Evaluation of changes to legislation governing official controls in pig approved slaughterhouses

## Technical report

Ipsos MORI

Social Science Research Unit

Food Standards Agency

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# Glossary

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|---|---|
| Ante-mortem inspection | The checks are usually carried out by the Official Veterinarian (OV) and must take place before an animal can be slaughtered (if an animal is slaughtered without ante-mortem inspection then it must be condemned). The OV checks for any signs of disease, injury, fatigue, stress and mishandling. The animal can then proceed to be slaughtered. |
| Approved SH | FSA conducts an assessment visit which covers all structural, equipment and hygiene requirements. The businesses must meet all the relevant legal requirements of both Regulation (EC) No 852/2004 and Regulation (EC) No 853/2004. A food business cannot be considered to be approved until: the approval assessment has taken place; a recommendation is made by the FSA veterinary official; and the approval documentation has been issued to the food business operator. |
| Collection and Communication of Inspection Results (CCIR) | The term given for the recording of ante and post-mortem observations, and their communication back to the farmer. It contains information on the identification of the animal, health status of the animal, veterinary medicine withdrawal periods and information on the animals housing condition. |
| Competent Authority (CA) | A body or individual that has legally delegated capacity or power to perform a particular designated function. The Food Standards Agency is the UK's central competent authority for official controls on food safety. |
| Controlled housing | For a producer to have reared their livestock in controlled housing they must have put in place the necessary conditions as defined by the EFSA[1] . This is relevant for this report as pigs reared in non-controlled housing conditions must be tested for *Trichinella.* |
| Department for Environment, Food & Rural Affairs (DEFRA) | The UK government department responsible for policy and regulations on environmental, food and rural issues. |
| Department of Agriculture and Rural Development (DARD) | The department with responsibility for food, farming, environmental policies and the development of the rural sector in Northern Ireland. Through a service level agreement with the Food Standards Agency, DARD is responsible for the official controls relating to the meat industry, to safeguard the health of the public, and the health and welfare of animals at slaughter. |
| Electronic Animal Movement Licensing System (eAML2) | In 2012 The Pigs (Records, Identification and Movement) Orders (PRIMO) were replaced in England and Wales with new Orders to provide the statutory basis for electronic movement reporting. eAML2 (Electronic Animal Movement Licensing System) is the electronic version of the replaced AML2 pig movement form. For farm-to-slaughter moves, it also combines the AML2 and Food Chain Information (FCI) forms into one. |
| Endocarditis | A disease characterised by the infection of the inner lining of the heart which can damage heart valves and have serious repercussions. It is commonly caused by bacteria travelling to the heart. |
| Enforcement action | If meat is not produced in accordance with the relevant regulations, FSA operational staff take proportionate enforcement action, which may include informal action, serving notices, or referrals for investigation or withdrawal or suspension of approval. When carrying out any enforcement activity the FSA acts in accordance with the Manual for Official Controls (MOC) enforcement policy and operational instructions, as well as the Government's Enforcement Concordat. |

[1] Defined under EU Commission regulation No 216/2014 of 7th March 2014 amending Regulation (EC) No 2075/2005 laying down specific rules on official controls for *Trichinella* in meat

| | |
|---|---|
| European Food Safety Authority (EFSA) | An independent European agency funded by the EU, operating separately from European Commission, European Parliament and EU member states. Their role is to assess and communicate all risk associated with the food chain, providing independent scientific advice and clear communication on existing and emerging risks. |
| Field Veterinary Coordinator (FVC) | Field Veterinary Coordinators (FVCs) are FSA employed staff. They have responsibility for the delivery of official controls in their area. They do not have line management responsibility for the OVs but will feed back performance issues to the contractors (i.e. their employer). Field Veterinary Leaders/Coordinators will ensure that support is in place for frontline teams, and will liaise with the contract Area Veterinary Managers and OVs working at establishments identified as Urgent Improvement Necessary to ensure a consistent approach is taken. |
| Food Business Operator (FBO) | The Food Business Operator (FBO) is the natural or legal person/s responsible for ensuring that the requirements of food law are met within the food business under their control.[2] Throughout this report, the FBO refers to the person who self-defined as such during research carried out to examine implementation of new legislation governing meat inspection in pig SHs. |
| Food Chain Information (FCI) | Food Chain Information (FCI) refers to the information on the health status of the animal consigned for slaughter and the holding of origin. |
| Food Standards Agency (FSA) | The Agency was created in 2000 as a non-Ministerial government department, governed by a board, and tasked with protecting consumers in relation to food. It is the role of the Agency to help ensure that the meat industry safeguards the health of the public, and the health and welfare of animals at slaughter. |
| Full Inspection Procedure (FIP) | The procedure in which the palpation of organs and incision of lymph nodes are carried out as standard, during the inspection of the carcass by the Meat Hygiene Inspector (MHI) or OV. |
| Hazard Analysis and Critical Control Point (HACCP) | HACCP is an internationally recognised way of managing food safety and protecting consumers. All food business operators except farmers and growers are required by EU food hygiene legislation, to implement and maintain hygiene procedures based on HACCP principles, including identifying any hazards that need to be eliminated and implementing appropriate controls. |
| Innova system | The FSA Innova system is an electronic application which removed the need to complete forms such as the PMI 4/10, CIR 12/1, CIR 12/2, and PMI 4/8. The data is inputted within 48 hours of slaughter by the Official Veterinarian or Meat Hygiene Inspector. |
| Lairage | The lairage is the area where animals are held before slaughter. This is usually where the ante-mortem inspection takes place. |
| Meat Hygiene Inspector (MHI) | Meat Hygiene Inspectors (MHIs) carry out a number of official tasks including post-mortem inspections.[3] |
| Offal | Offal refers to the internal tissue of a dead animal excluding the carcass and bones. This is further divided into red offal (including heart, lungs, liver and kidney) and green offal (including stomach and intestines). |
| Official Veterinarian (OV) | Official Veterinarians (OVs) perform a range of official tasks, including ante-mortem inspections, and have responsibility for keeping a record of the findings of the inspections, including details of contraventions, actions required and monitoring of |

[2] Regulation (EC) 178/2002

[3] The OV need not be present during post-mortem inspection if:

- an MHI carries out post-mortem inspection and puts aside abnormal meat with uncommonly occurring conditions and all other meat from the same animal;
- the MHI documents their procedures and findings in a manner that allows the OV to be satisfied that standards are being met, and: the OV subsequently inspects all such meat.

| | |
|---|---|
| | these actions. |
| Pericarditis | Inflammation of the tissue surrounding the heart. |
| Post-mortem Inspection (PMHI) | Inspection carried out after the animal has been killed and processed through the SH. The inspection is usually carried out by the Meat Hygiene Inspector (MHI) (but occasionally by the OV) and involves checking the carcass and head for signs of disease or meat that is not fit for human consumption. If the carcass is passed fit for human consumption then it will receive a health mark; at other times the whole carcass or parts of it will be condemned. |
| Pyaemeia | A form of septicaemia that leads to the formation of abscesses across the animal. |
| *Salmonella* | *Salmonella* are a group of bacteria which can cause food poisoning, usually found in animal or human intestines. |
| *Toxoplasma gondii* | A single-celled parasitic organism that is widespread in humans and causes toxoplasmosis. It can cause flu-like symptoms as well as other more serious symptoms, particularly for the immunosuppressed. These symptoms can be passed from pigs to humans in badly prepared meat. |
| *Trichinella* | Trichinosis is a disease caused by the larvae of a small nematode worm, which can affect many species including humans. Animals become infected when they ingest meat containing the larvae.[4] |
| Tuberculosis | A bacterial infection which mainly infects the lungs, although it can affect other parts of the body, which is transmissible from animals to humans. |
| Visual Inspection Procedure | Palpation of organs and incision of lymph nodes are no longer carried out as standard. Officials make a risk-based assessment as to whether a visual or full inspection (with routine palpation and incision) is required. |
| *Yersinia enterocolitica* | *Yersinia enterocolitica* is a commonly occurring bacteria found in animals and in the natural environment. Certain strains of the bacteria are pathogenic and can lead to food poisoning.[5] It passes from pigs to humans when pork is insufficiently cooked. |

[4] http://www.food.gov.uk/business-industry/meat/trichinella-pigs

[5] UK publicly funded research relating to *Yersinia enterocolitica*. Report to the Microbiological Safety of Food Funders Group–May 2005 http://tna.europarchive.org/20130814101929/http://food.gov.uk/multimedia/pdfs/msffgyersinia.pdf

# Introduction

# 1 Introduction

Ipsos MORI was commissioned by the Food Standards Agency (FSA) in April 2014 to undertake an evaluation of changes to legislation governing official controls in pig approved SHs (hereafter described as SHs). The changes relate to how pigs are inspected for diseases and contamination, and the circumstances for testing carcasses for *Trichinella* and *Salmonella.* There were two key elements to the evaluation contract:

1. Conduct a process evaluation of the roll-out of the legislative changes, based on case study visits to SHs and telephone interviews with Field Veterinary Coordinators; and

2. Provide recommendations to inform the development of a monitoring framework, based on a series of indicators related to the legislative changes that will allow the FSA to monitor their impact.

This document outlines the study design for the evaluation contract. It describes the analytical framework against which the legislative changes governing SHs were reviewed, the methodological approach across both strands of the evaluation contract, as well as the limitations of the study and their impact on the research.

## 1.1 Background

### 1.1.1 Legislative context

European Union (EU) legislation requires meat official controls to be delivered in all meat SHs in the UK. Official controls[6] are any form of control performed for the verification of compliance with food law. They require specified inspections of all animals, carcasses and offal through risk-based audits to verify that approved fresh meat premises comply with EU Food Hygiene Regulations. The aim of official controls is to protect public health, animal health and animal welfare.

### 1.1.2 Background to the legislative changes in pig SHs

In 2011, a scientific paper published by EFSA[7] examined the public health hazards which can be caused by traditional post mortem inspection. It highlighted that incising lymph nodes and palpating organs as routine may contribute to the risk of cross-contamination of carcasses with foodborne hazards such as *Salmonella* spp. or Yersinia spp. If officials no longer undertake these tasks as routine, there could be improved public health outcomes. Although UK evidence[8] from testing indicates that the risk from *Trichinella* is low in Scotland, the parasite can cause serious illness in humans.

In October 2013 the European Parliament voted to proceed with a number of these preventative measures. The aim of the new EU Regulation is to Minimise this risk thereby promoting public health benefits. They were introduced on 1st June 2014.[9] There are 153 approved pig SHs in the UK that are affected by these legislative changes. In practice, at SH level these legislative changes have implications for three official controls:

[6] The official controls in use are ante- and post-inspection, monitoring, sampling, microbiological analysis, surveillance and verification. The changes in legislation governing official controls in pig approved SHs affect two of these official controls: post-mortem inspection and microbiological analysis of *Salmonella* and *Trichinella.*

[7] http://www.efsa.europa.eu/en/efsajournal/doc/2351.pdf

[8] http://www.gov.scot/Resource/0045/00451235.pdf

[9] This is the same day the legislative changes came into effect

- Visual inspection: Palpation of organs and incision of lymph nodes are no longer carried out as standard. Officials make a risk-based assessment as to whether a traditional inspection with routine palpation and incision is required, or whether a visual inspection is sufficient.[10] Plants exporting to non-EU markets – which tend to be larger SHs – are not currently implementing this change, as these export markets still require traditionally inspected pigs. Further information on this issue is provided in the process evaluation report.
- *Salmonella* testing: The threshold (i.e. process hygiene criterion) for corrective action at a SH level has changed from five positive samples over a 10-week period to three positive samples. Where a SH, processing more than 37,500 pigs annually, exceeds this threshold then corrective action must be taken. UK-wide results must now be reported regularly by the FSA to the European Commission.
- *Trichinella* testing: Food Business Operators are currently required to test 100% of pigs sent to slaughter for *Trichinella*, but this requirement has not been fully implemented in the UK. Under the new legislation all sows and boars or 10% of pigs from controlled housing conditions and all pigs that do not originate from "controlled housing conditions" are to be tested for *Trichinella*. The FSA recognised many SHs would not be ready to implement the changes to *Trichinella* testing on the 1st June 2014 and so they were given until November 2014 to prepare.

### 1.1.3 The role of the FSA

As the UK agency responsible for food safety and hygiene and food business regulation, part of the FSA's remit is facilitating, ensuring and monitoring implementation of EU legislative changes affecting the UK food industry. In terms of the legislative changes governing pig SHs in the UK, a key part of its role has therefore been ensuring that key audiences were aware of the changes in advance of the implementation date. A detailed description of its communication related activities can be found in Chapter 2.

The FSA has been responsible for training MHIs and OVs about the legislative changes to ensure they would be in a position to implement the changes as intended from 1st June. Since implementation begun, FSA representatives have visited SHs to check on implementation progress. In addition, part of the role of Field Veterinary Coordinators has been to answer queries from OVs about the legislation and its implementation.

## 1.2 Study overview

### 1.2.1 Process evaluation

The key purpose of the process evaluation carried out by Ipsos MORI was to systematically and robustly assess the roll-out and operation of the new legislation, as well as the extent to which intended outcomes have been achieved. The process largely focusses on the views and practices of those affected by the new system, as this will help the FSA to:

- Understand awareness, understanding and views of the legislative changes, including how interviewees became aware about the changes, and opinion of them.
- Establish how the changes were implemented and whether FSA expected processes are being followed.
- Identify the reported implications of the legislative changes and whether the immediate outcomes associated with the new legislation have been achieved.

[10] There are guidelines available to assist officials in deciding, at ante or post-mortem inspection, whether a carcass or its offal require palpation and incision.

### Longitudinal case study approach

A longitudinal case study design was implemented in order to investigate views, implementation, and reported implications of the legislative changes before, during and after the implementation date. This aspect of the evaluation ran from April 2014 to December 2015 and included three waves of case study visits.

- Three pre-implementation visits carried out in May and June 2014
- 11 initial post-implementation visits carried out from August to October 2014
- Nine subsequent post-implementation visits carried out from August to November 2015

The table presented below shows the characteristics of the SHs that were visited across the three waves of cases study visits.

**Table 1.2: The characteristics of the case study SHs**

| | Species | Throughput | Compliance | Pre-Imp visit | Wave 1 Post-Imp visit | Wave 2 Post-Imp visit | Export |
|---|---|---|---|---|---|---|---|
| 1 | Multi | Low/Small | Active | ✓ | ✓ | ✓ | ✗ |
| 2 | Multi | Low/Small | Broad | ✓ | ✓ | ✓ | ✗ |
| 3 | Multi | Medium | Weak | ✓ | ✓ | ✓ | ✗ |
| 4 | Multi | Medium | Broad | ✗ | ✓ | ✗ | ✗ |
| 5 | Multi | Medium | Active | ✗ | ✓ | ✓ | ✓ |
| 6 | Multi | Low/Small | Broad | ✗ | ✓ | ✓ | ✗ |
| 7 | Multi | Medium | Weak | ✗ | ✓ | ✓ | ✗ |
| 8 | Single | Large/Very large | Broad | ✗ | ✓ | ✓ | ✓ |
| 9 | Multi | Large/Very large | Active | ✗ | ✓ | ✓ | ✗ |
| 10 | Single | Medium | Active | ✗ | ✓ | ✗ | ✓ |
| 11 | Single | Large/Very large | Active | ✗ | ✓ | ✓ | ✓ |

The case studies were based on in-depth interviews with the breadth of key actors in pig SHs to give a rich insight into participant's views on the implementation of the legislative changes. These were supplemented with observational research along key stages of the processing line over the course of a site visit to give a broader understanding of how FBOs and officials are implementing the changes and their views on them.

### 1.2.2 Monitoring framework

FSA also asked Ipsos MORI to provide recommendations for the production of a Monitoring Framework, comprised of a series of indicators, through which FSA could monitor the effects of the legislative changes. The Monitoring Framework establishes a system to collect relevant information about the implementation of the legislative changes for pig approved SHs. The Framework also includes a set of measures relevant to an understanding of the different components of the legislation. It is intended to demonstrate the extent to which different types of trend data have changed and are changing, where this may be due to the introduction of the legislative changes. The final output, which is published separately, also contains recommendations about which measures ought to be taken forward into the final framework.

In order to develop the monitoring framework, the research team undertook desk research, study existing data sources and attended meetings arranged by FSA with information users in order to understand their needs. The views of SH staff on monitoring requirements were also collected during the three pre-implementation case study visits and the 11 visits at the first wave of post-implementation.

### 1.2.3 Analytical framework

The first evaluation stage involved the collaborative development of an analytical framework to guide the study. A Theory of Change model was developed, by the Ipsos MORI and the FSA project team, in order to set out a clear understanding of the nature of the legislative changes, the rationale (i.e. a diagnosis of the problem it is trying to address), and the anticipated activities, outputs, outcomes and impacts. The Theory of Change represents the framework within which the process evaluation research was conducted and evidence presented. Discussion of the development of the Theory of Change and its underlying assumptions are found in Chapter 2. The FSA also developed process maps to provide a framework within which to identify how the changes in legislation would affect the official controls related to the legislative changes.

### 1.2.4 Structure of technical report

The remainder of this report is structured as follows:

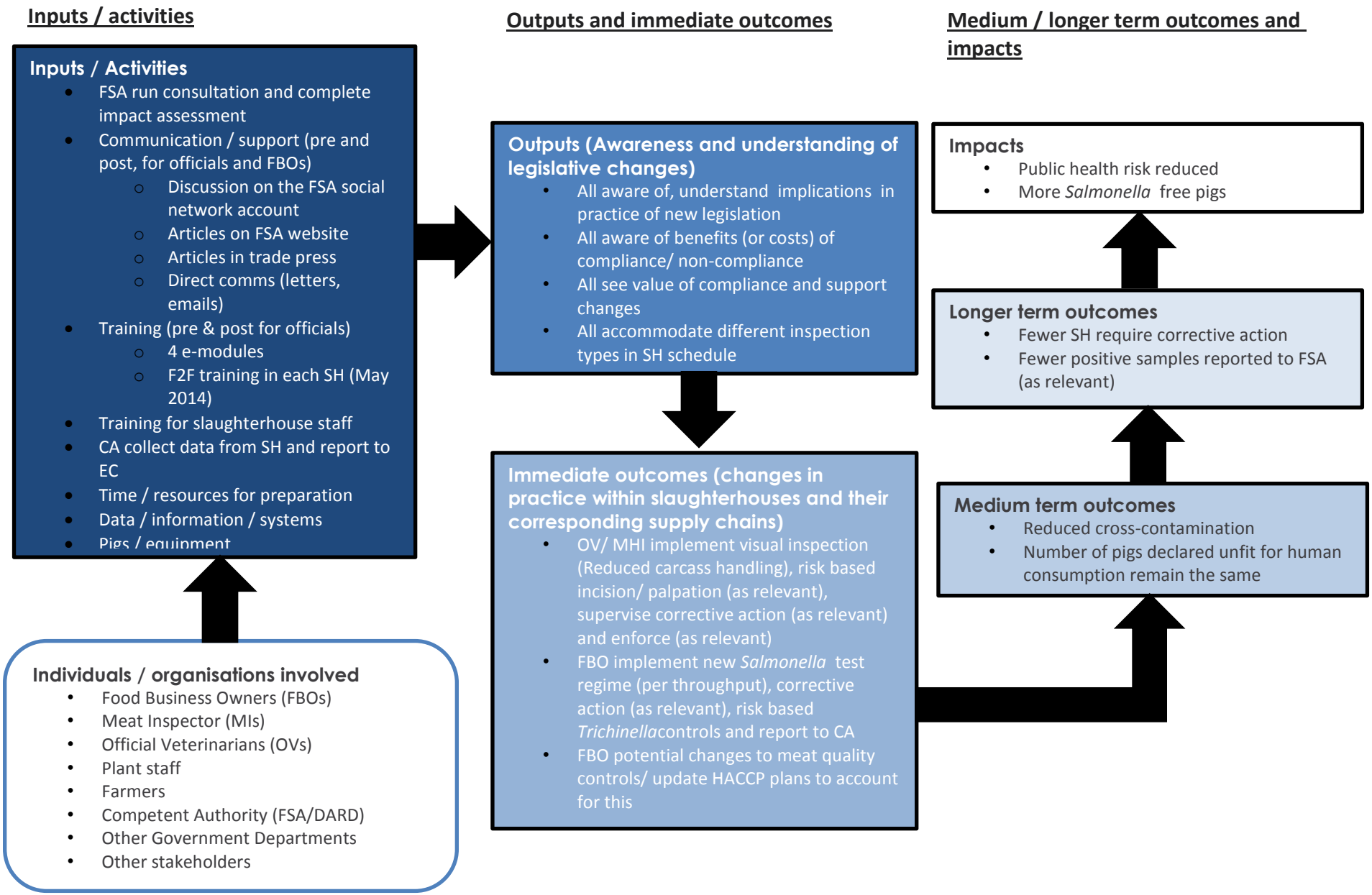
- Chapter 2: Analytical framework
- Chapter 3: Methodological approach: monitoring framework
- Chapter 4: Methodological approach: process evaluation
- Chapter 5: Appendices

# Analytical framework

# 2 Analytical framework

This chapter presents a 'Theory of Change' of the changes to legislation governing pig SHs in the UK. It was developed by the Ipsos MORI and the FSA project teams. The Theory of Change depicts how the changes to the legislation have been rolled out and the changes which FSA expected to occur. Each link in the Theory of Change between the activities delivered and the outcomes achieved is underpinned by a series of assumptions – see section 2.2. The Theory of Change represents the analytical framework against which the implementation has been reviewed. The Theory of Change is illustrated below in Figure 2.1.

**Figure 2.1: Theory of Change depicting the legislative changes governing pig SHs**



## 2.1 Theory of Change description

This section describes each of the Theory of Change boxes and their interactions in detail. It starts with a description of the individuals and organisations involved in, and directly affected by, the new legislation. Following this, it explains how the different stages of the Theory of Change fit together.

### 2.1.1 Individuals / organisations involved in and directly affected by the new legislation

- The Food Business Operator (FBO) is the natural or legal person/s responsible for ensuring that the requirements of food law are met within the food business under their control.[11] Throughout this report, the FBO refers to the person who self-defined as such during research carried out to examine implementation of new legislation governing meat inspection in pig SHs.
- Plant staff are employed by the FBO, and are defined as individuals who are responsible for performing any food safety or animal health and welfare related tasks as part of their roles within the SH.
- Regulatory staff are employed directly or indirectly by the FSA, although the cost is in part recovered from FBOs. These comprise:
  - Official Veterinarians (OVs) who perform a range of official tasks, including ante-mortem inspections, and have responsibility for keeping a record of the findings of the inspections, including details of contraventions, actions required and monitoring of these actions.
  - Official Auxiliaries (OAs) or Meat Hygiene Inspectors (MHIs) who carry out a number of official tasks including post-mortem inspections.[12]
- The Food Standards Agency (FSA) is the Competent Authority in the UK in relation to the delivery of meat official controls. It has a statutory duty to provide these services on demand, 24 hours a day, 365 days a year, throughout England, Scotland and Wales. In Northern Ireland, the service level is provided by the Department for Agriculture and Rural Development (DARD).
- Other Government Departments such as Defra are working in partnership with the FSA and other stakeholders (e.g. industry representatives) to ensure the new legislation is implemented as planned.

### 2.1.2 Inputs/ activities from FSA

Prior to implementation, a range of activities were undertaken by the FSA. These activities were delivered and combined with a variety of inputs, as described in the Theory of Change above, as part of its preparations for the implementation of the legislative changes.

In accordance with its regulatory obligations, the FSA published a consultation pack[13] which invited feedback on the proposed legislative changes. Contained in the consultation pack document was the FSA's impact assessment.[14] This document provided a detailed account of a range of different legislative scenarios, including non, partial, and full implementation, and of the implications of each outcome respectively. The FSA also produced a communications strategy

[11] Regulation (EC) 178/2002

[12] The OV need not be present during post-mortem inspection if:

- an MHI carries out post-mortem inspection and puts aside abnormal meat with uncommonly occurring conditions and all other meat from the same animal;
- the MHI documents their procedures and findings in a manner that allows the OV to be satisfied that standards are being met, and:
- the OV subsequently inspects all such meat.

[13] http://www.food.gov.uk/news-updates/consultations/2014/pigmeat-inspect-consult

[14] https://www.food.gov.uk/sites/default/files/multimedia/pdfs/consultation/pigmeat-inspect-pack-enw.pdf

which set out how it would utilise a range of channels to communicate the new legislation to those affected by it. In practice, the FSA has raised awareness in a number of ways, namely:

Officials

- Since November 2012 there have been eight articles in The Inspector, a monthly printed newssheet for FSA Operations Staff, mentioning the changes. These articles provide Meat Inspectors with details of the changes and their rationale. The articles also advised MHIs about the training they would receive, and a link to them was posted on the FSA's Yammer page (a social media account which the FSA uses to cascade information to its staff), which led to online discussions of the practical implications of the changes.
- Two articles were published in TEC Files, a publication produced in-house for issue to FSA operational staff. These articles provided detail about the changes with links to the relevant EU regulations. The articles also explained the rationale of the changes, and the FSA's information delivery strategy.
- There were also articles produced in the online version of 'Meat Trades Journal: Changes to EU meat inspection' uploaded on the 12th September 2013 and 'Modernising meat inspection' uploaded on the 6th June 2014.
- Officials received direct communications about the legislative changes from their line managers. OVs and MHIs also received online training, and new legislation "facilitators" – the OVs and MHIs that carried out site visits prior to implementation – received face-to-face training in York. In addition, the FSA publicised the new legislation via its online social network account (Yammer) in order raise awareness and to start a Q&A among MHIs.

FBO

- The largest SHs were involved from an early stage in high-level discussions with the FSA about the legislation and how it would impact them.
- Dissemination via industry bodies; the FSA has been speaking to the Association of Independent Meat Suppliers (AIMS) and the British Pig Association (BPA) about the changes at regular intervals since summer 2012. The FSA's intention was for these bodies to disseminate information about the changes to FBOs, particularly to smaller SHs.
- Leaflets were sent directly to SHs from February 2014, as it became apparent that not all SHs had become aware of the changes through industry bodies as intended.
- By May 2014 the FSA was still concerned that some FBOs were unaware of the changes, and therefore ensured that all SHs received face-to-face visits. The primary function of these visits was MHI training, but they also provided an opportunity to answer FBO questions.

### 2.1.3 Inputs /activities

In addition to these activities, implementation relied upon a number of different inputs, namely:

- Time and resources for preparation by officials, FBO and other line operatives
- Data and information systems, e.g. a protocol for identifying and communicating which carcasses require full inspection
- Resources from the SHs e.g. testing equipment, pigs etc.
- Professional judgement, e.g. officials utilising FSA guidance combined with their own judgement to decide if a carcass should undergo FIP.

### 2.1.4 Outputs

The desired effect of the communication activities described above was that those directly and indirectly affected by the new legislation would be aware of the details of the legislation and of any requirements that would enable its implementation. The activities were also intended to ensure those affected by it would understand the rationale for the changes, i.e. to ensure that the controls are proportionate and risk-based and continue to provide protection to public health and animal health and welfare.

Whilst implementation is mandatory, the FSA felt that an understanding of the benefits (and also the costs of non-compliance) could increase buy-in and recognition of the importance of the changes among those affected by the legislation, and that this in turn might increase the likelihood of the desired behaviours being realised and maintained. These behaviours include the implementation and verification of modified official controls, corrective and enforcement action as required, and the fulfilment of the data reporting requirements of the Competent Authority and EU Commission.

### 2.1.5 Immediate outcomes

As with any change requiring new practices and ways of working, a process of embedding is usually needed before the new system can become the norm and run as intended. The Competent Authority expects that pig SHs in the UK will achieve full compliance with the different requirements of the new legislation as relevant. The desired outcomes of visual inspection are minimised carcass handling and/or fewer carcasses/offal being incised or palpated during post-mortem inspection.

### 2.1.6 Medium term outcomes

The FSA envisages the changes to visual inspection will reduce cross contamination, whilst the number of carcasses which are determined unfit for human consumption will remain the same.

### 2.1.7 Longer term outcomes

In the long term, the FSA expects that once the new legislation has become embedded and those affected by it are fully compliant, then the amount of corrective action required and the number of reported instances of positive *Salmonella* test results will fall. [15]

### 2.1.8 Impacts

Ultimately, the new legislation is intended to increase public health protection by reducing the potential for cases of foodborne illness caused by unsafe meat entering the food chain. It is also anticipated the changes will result in a reduced prevalence of *Salmonella* infected pigs in the UK.

## 2.2 Assumptions underpinning the Theory of Change

The Theory of Change described above depends on a series of underpinning assumptions about how the activities will lead to the anticipated outputs, and how these will in turn result in the anticipated outcomes and wider impacts. These assumptions are outlined below.

[15] In the shorter term they might increase due to better sampling.

*Inputs/activities → Outputs*

- Communication is high quality, disseminated widely, unambiguous and timely
- Support and training is high quality, unambiguous and timely
- Communication and support promote an accurate and consistent level of understanding of the changes across SHs
- FBOs have sufficient resources to implement the legislation
- Officials have confidence in their own professional judgement

*Outputs → Immediate outcomes*

- Visual inspection leads to reduced carcass handling
- Officials are willing to use enforcement action appropriately to enforce the legislation at a SH level

*Immediate outcomes → medium term outcomes*

- Visual inspection and changes to sampling regulations ensure that all pigs that would have previously been declared unfit for human consumption continue to be
- Reduced use of the knife and handling leads to reduced cross contamination

*Medium term outcomes→ longer term outcomes*

- Strengthened *Salmonella* testing and monitoring leads to a reduction in the number of positive *Salmonella* results

*Longer term outcomes→ Impacts*

- Reduced cross contamination leads to reduced public health risk
- Strengthened *Salmonella* testing leads to a reduction in the number of *Salmonella* -infected pigs

### 2.2.1 Theory of Change as a tool to guide the process evaluation and development of the monitoring framework

The theory of change presented in this chapter provided an analytical framework for the process evaluation and also for structuring the design of a monitoring framework (published separately). The Monitoring Framework focussed on providing a series of indicators that will allow the FSA to monitor roll-out of the changes and to measure the longer term aspects of the Theory of Change only. Other components of the Theory of Change were considered throughout the process evaluation.

# Methodological approach: monitoring framework

# 3 Methodological approach: monitoring framework

The Monitoring Framework will collect information relevant to understanding the implementation of the legislative changes relating to pig approved SHs. It also included a set of measures relevant to an understanding of the different components of the legislation. If implemented, the Framework will help to demonstrate the extent to which different types of indicators have changed and are changing, where this may be due to the introduction of the legislative changes.

There were two types of measure which would contribute in different ways to the understanding of the legislative changes:

1. Descriptive measures: these were used to provide a picture of how the legislative changes have been implemented locally, for example the number of animals that undergo traditional inspection.

Some descriptive measures may change little over time (e.g. overall number of animals declared unfit for human consumption) but would still provide useful information – it was felt to be important for the FSA to note this lack of change as a way to monitor whether any unintended consequences have occurred as a result of implementation.

2. Evaluative measures: these were used to provide an assessment of if and how the anticipated outcomes are achieved. This information will allow the FSA to assess whether the legislative changes have the desired effect, e.g. reducing cross-contamination. Evaluative information will also be used to measure the impact of the new legislative change. For example, if there are fewer *Salmonella* infected pigs in the UK.

## 3.1 Who is the Monitoring Framework for?

The Framework was developed for the Food Standards Agency. The monitoring data may also be of interest to those who work in the SH environment, including (but not limited to) Food Business Operators, Official Veterinarians, and Meat Hygiene Inspectors, as it can be used to establish compliance with the legislative changes.

## 3.2 Development of the Monitoring Framework

The Framework was intended to group and list a series of indicators which, when tracked, will enable the FSA to monitor the outcomes and impacts associated with the new legislation, in particular:

- Immediate outcomes (e.g. whether visual inspection is implemented);
- Medium-term outcomes (e.g. whether risk-based and proportionate official controls are in place across pig SHs);
- Longer-term outcomes (e.g. whether, over time, there is a reduction in the instances of *Salmonella* infected pigs); and
- Impacts (e.g. has it contributed to improved public health outcomes).

Existing measures, those suggested by the FSA, and further measures identified through desk research[16] were collated into a draft Monitoring Framework. For each measure (31 in total), an individual proforma was produced – the proformas for the eight shortlisted measures can be found in the Monitoring Framework report's appendix. The remaining twenty-three are available on request from the FSA. The proformas were structured around the following headings to allow an assessment of a number of factors, including implications of data collection and overall suitability:

a. Group (CCIR/*Salmonella* / *Trichinella*/Other)
b. Type of measure (Animal Welfare, Animal Health, Public Health, Process, Regulation)
c. Outcome measured
d. Minimum unit for which it is useful to assess data (Slaughterhouse, Regional, National, Batch)[17]
e. Practicalities of collection (Feasible/Some difficulties/Difficult/Substantial difficulties/Unlikely to be possible)
f. Likely quality of data collected (Good, Fair, Poor, Varies, Unknown)
g. Confidentiality implications (Yes/No)
h. Additional resource implications for FSA (No/Low/Medium/High/Unknown)[18]
i. Additional resource implications for businesses (No/Low/Medium/High/Unknown)[19]
j. Other means of collection (Yes/No)
k. Usefulness for monitoring the legislative changes (Good/Useful/Limited/No – based on responses to the following sub-headings)
    i) Does it measure something that might change as a result of the new legislation?
    ii) How big will any change have to be in order to be identified?[20]
    iii) Are there other factors that could cause this measure to change?
    iv) If Yes to other factors, will it be possible to differentiate the two, i.e. identify the cause?
    v) Can any observed change, therefore, be attributed to legislative change?
l. Resource implications for FSA – data interpretation (No/Low/Medium/High/Unknown) – assessed at a relative rather than absolute level
m. Additional comments
n. Overall assessment of suitability (Suitable/Has potential/Limited/Unsuitable).

As explained below, the monitoring framework was further refined by SRUC and Ipsos MORI in order to provide a recommended shortlist for monitoring purposes.

[16] The sources used were The European Food Safety Authority, Veterinary Epidemiology and Public Health Group, The Journal of Food Protection, Zoonoses and Public Health, The Journal of Veterinary and Public Health, Foodbase, Bpex and Google Scholar.

[17] Within the scope of this project and the resources available it is impossible to do more than provide an initial view here. To provide more detail attribution would require detailed data on the size of currently measured estimates at each level; their variability, range, the likely size (and variability) of any change that might be produced by the change in legislation, the likely size (and variability) of any change from any other factor that might alter it – at all the levels involved. The Ipsos MORI and SRUC project teams did not have access to that data, even where it exists and a lot of the required field data doesn't, each one would be a design project in its own right.

[18] Assessed at a relative rather than absolute level. Assessing the actual economic costs of collection of this data would require additional research.

[19] Ibid.

[20] Within the scope of this project and the resources available it is impossible to do more than provide an initial view here, and suggest where further work is needed by those with access to the relevant datasets. There is very little data available in the public domain on the current data collected at a SH level. For example, there are some point estimates for a subset of pigs in the report for FS145003 (http://www.foodbase.org.uk//admintools/reportdocuments/797-1-1410_Trial_visual_inspection_pigs_FS145003.pdf).However, there have been a number of changes to the recording, the classification and the databases since the report was published. Where this information has been used, it has been as part of the research team's background experience in the industry and epidemiological knowledge, to inform the qualitative statements that have been made.

## 3.3 Decisions underpinning the shortlisted measures

The Monitoring Framework report puts forward recommendations about the measures the FSA may wish to include in the final version of the Monitoring Framework. The recommendations are based on two key criteria. First, whether they map to the Theory of Change Model[21] as this highlights their relevance to the new legislation. Second, an overall assessment of suitability, which itself is derived from issues such as data availability, collection, quality and interpretation.

Because of the number of factors used to assess each measure (see headings 'a-n' above) it was not always possible to provide a definitive recommendation on whether measures should be shortlisted or not. In such cases, the Ipsos MORI and SRUC project teams assigned a 'qualified yes', and suggested what further work (e.g. cost / benefit assessment) would be required to make a definitive decision.

Ipsos MORI / SRUC recommended that eight data measures warrant further consideration by the FSA – they are set out in table 3.3 overleaf. It is important to note that some measures are duplicated across different components of the Theory of Change if it enables the ability to monitor, directly or indirectly, multiple outcomes or impacts. The same measure can be assigned a yes or qualified yes depending on the outcome under consideration. This is due to difficulties associated with attribution.

[21] A Theory of Change approach was used to define the pathways through which changes in the legislation would lead to a number of outcomes and impacts. The Theory of Change model articulates each of the outcomes in the immediate term, medium term and longer term as well as the impacts.

**Table 3.3: The eight shortlisted measures in the Monitoring Framework report**

| Measure no. | Description of measure | Outcome(s) / assigned recommendation: (QY) = Qualified Yes and (Y) = Yes |
|---|---|---|
| 1 | Incidence of lesions/conditions recorded in the Collection and Communication of Inspection Results (CCIR) - If possible differentiated between the ones recorded using Visual Inspection Procedure (VIP) and Full Inspection Procedure (FIP). | IO: Official Veterinarian (OV)/Meat Hygiene Inspector (MHI) implements visual inspection (QY)<br>IO: Implementation of risk-based palpation and incision (QY) |
| 2 | Number of animals that undergo FIP | IO: OV/MHI implements visual inspection (QY)<br>IO: Reduced carcass handling (QY)<br>IO: Implementation of risk-based palpation and incision (QY) |
| 3 | 1) Number of SHs / Food Business Operators (FBOs) that choose to incise hearts for quality assurance purposes<br>2) number of animals which had the heart incised and the number affected with Endocarditis. | IO: OV/MHI implements visual inspection (YES)<br>IO: FBO potential changes to meat quality controls / update HACCP plans to account for this (YES, 1) ONLY |
| 5 | Indicator measures / proxies for the adequate identification of meat that is declared unfit for human consumption: number of carcasses declared unfit for human consumption | ITO: Number of pigs declared unfit for human consumption remain the same (YES) |
| 7 | Results of the post-mortem verification tasks[22] | IO: OV/MHI implements visual inspection (YES)<br>IO: OV/MHI supervises correction action (YES) |
| 8 | Summary of *Salmonella* test results (number positive and tested) | IO: Reduced carcass handling (YES)<br>IO: FBO implements new *Salmonella* regime (YES)<br>ITO: Reduced cross contamination (YES)<br>LTO: Fewer positive samples reported to FSA (YES)<br>I: Public health risk reduced (QY)<br>I: More *Salmonella* free pigs (QY) |
| 13a | Number of SHs (SH) which are consistently having satisfactory *Salmonella* results (satisfactory results over a period of 30 consecutive weeks) / number of SH testing for *Salmonella* | IO: FBO implements new *Salmonella* regime (YES)<br>LTO: Fewer SH require corrective action (YES)<br>LTO: Fewer positive samples reported to FSA (YES) |
| 18 | Number tested for *Trichinella* from each type of housing and number of *Trichinella positive* samples.<br>1) number of *Trichinella* positive results / number tested for *Trichinella*;<br>2) number of *Trichinella* positive results from non-controlled housing / number tested for *Trichinella* from non-controlled housing;<br>3) number of *Trichinella* positive results from controlled housing / number tested for *Trichinella* from controlled housing | IO: Implementation of risk based *Trichinella* controls and reporting of positive results to CA (YES)<br>I: Public health risk reduced (QY) |

[22] According to the Food Standards Agency Consultation, Title: Changes to Pig Meat Inspection in June the frequency is going to increase in the first 6 months after the implementation of the new legislative requirements

# Methodological approach: process evaluation

# 4 Methodological approach: process evaluation

The process evaluation element of the research consisted of three waves of case study visits in pig SHs. Data collection for this project used a case-study approach. This ensured that the evaluation was rooted in the realities of those affected by the changes in the legislation, thus providing an "empirical inquiry that investigates a phenomenon within its real life context using multiple sources of evidence".[23]

The key advantages of the method in the context of this research are:

- Case studies provided an in-depth understanding of participants' attitudes and what's driving them in a relatively small number of SHs.
- They also provided breadth by collecting a wide range of insights from each SH by interviewing, and observing various key players on each site.
- They also allowed Ipsos MORI to understand practices in more detail by combining both in-depth interviews and silent observation which together provide greater depth and helped to investigate the roll out and operation of the legislative changes.
- They enabled an understanding of how new legislation is understood, acted on and embedded both at individual and whole SH levels.
- It allowed for both formal and informal interviewing techniques, supplementing depth interviews with ad hoc discussions and questioning of different players whilst we were on site.
- By spending extended periods of time in SHs, researchers were better placed to build trust among key agents which was key to ensuring open and honest discussions.

## 4.1 Purpose of the case study visits

Each wave of case study visits served a different purpose and contributed to an understanding of the roll-out of the legislative changes in a different way – from building trust and understanding SH preparation for the changes, to the understanding of how the changes work in practice, and identifying whether immediate outcomes (e.g. compliance with risk-based incision and palpation) had been achieved. The case study visits also allowed the Ipsos MORI project team to test some of the shortlisted measures for the monitoring framework in terms of feasibility and implication of use. However, while mindful of this, all case study visits touched on similar areas of discussion, to ensure we were able to track changes over time.

Table 4.1 on the next page shows the key research questions across the case study visits.

[23] Yin, R., 1989. Case Study Research. Sage Publication, California, pp: 22-26.

**Table 4.1: Key research questions for process evaluation**

| Research Question | | Data collected: | | |
|---|---|---|---|---|
| | | Pre-implementation stage | First post implementation stage | Second (and final) post implementation stage |
| 1 | To what extent are regulatory officials and FBOs aware of the legislative changes? | ✓ | ✓ | |
| 2 | What have their information sources been? | ✓ | ✓ | |
| 3 | To what extent are they buying into the changes? What facilitates/ hinders buy in? | ✓ | ✓ | |
| 4 | Have officials and FBOs changed their practices in accordance with the new regulations? Why/ why not/ how? Did they begin this before 1 June 2014? | ✓ | ✓ | ✓ |
| 5 | Have officials and FBOs changed their processes, including data collection and reporting systems, in accordance with the legislative changes? Why/ why not/ how? Did they begin this before 1 June 2014? | ✓ | ✓ | ✓ |
| 6 | To what extent are officials and FBOs aware of and understand any new information that has emerged as a result of the legislative changes and is this being used? Why/ Why not? | ✓ | ✓ | ✓ |
| 7 | Do officials and FBOs perceive any change in costs/ resources resulting from the changes? | ✓ | ✓ | ✓ |
| 8 | What do they think is working well and less well about the changes? | | ✓ | ✓ |
| 9 | Are officials and FBOs demonstrating any new or innovative approaches to embedding the changes? | | ✓ | ✓ |
| 10 | Do officials and FBOs have ideas to improve recommended practice within the scope of the legislative changes? | | ✓ | ✓ |
| 11 | To what extent are the changes being embedded by officials and FBOs? | | ✓ | ✓ |
| 12 | Do officials and FBOs want any additional support to help roll-out/ implement the changes? What and from whom? | ✓ | ✓ | ✓ |

## 4.2 Case study selection criteria

There are 388 SHs in the UK, of which 153 are pig approved. The initial design involved carrying out research in 12 of these SHs altogether. During the first wave of post-implementation case study visits (summer 2014), the Ipsos MORI and FSA project teams agreed to replace the 12th SH with interviews with Field Veterinary Coordinators, to provide a picture of the legislative changes across a cluster of SHs, thereby putting the findings into a broader context. The three waves of case study visits were conducted. These consisted of.

- Three pre-implementation visits carried out in May and June 2014
- 11 initial post-implementation visits carried out from August to October 2014
- Nine subsequent post-implementation visits carried out from August to November 2015

Nine SHs were revisited between August and November 2015 to understand how the legislative changes were working in practice and to further see whether outcomes associated with the new legislation had been achieved.

A longitudinal design (i.e. repeat visits) was felt to be the ideal approach for collecting the evidence that would answer the evaluation questions. To this end, we ensured that each SH could commit to 2/3 visits (as appropriate), and made every effort to maintain engagement across the study. Nevertheless, we anticipated that a small number of SHs might drop out of the study across the 18 month project period, so always planned to visit fewer SHs in the final post-implementation case study visits. The alternative was to aim to complete the same number of case study visits in both post implementation waves of visits and add new SHs for any attrition, but the downside would be that researchers would not have the benefit of the first post implementation.

### 4.2.1 Sampling

The key sampling criteria for selecting SHs were throughput and single/ multi species SHs, and quotas were set to include a range. Sampling by level of throughput was important. Our previous research into the SH environment[24] made us aware of the different external and internal pressures on SHs by size which can make aspects of complying with different systems of legislation more challenging for certain SHs. The level of throughput gave us a good proxy for other variables including number/type of officials and the required testing regime for *Salmonella*. Sampling by single versus multi-animal SHs helped us to understand if this affected the embedding of the legislative changes. For example, MHIs who work in multi-animal SHs might be subject to the new system of official controls (for pigs) and to the current system (for other animals) in a single day. This approach meant that the Ipsos MORI project team gained access to a broad range of types of establishment and thus the full diversity of views/ practices relating to the new legislation.

We did not set quotas on the compliance rating as assigned by the FSA due to the small sample size and the difficulty of recruiting SHs for research (see section 4.3 for discussion on recruitment) but we adopted a targeted approach to recruitment which meant that the final sample did contain a mix of compliance ratings - see table 1.2 in introduction. Again, our previous research[25] suggested that the compliance rating can sometimes be indicative of the degree of engagement with FSA and onsite officials. By recruiting a mix, we ensured that the greatest range of views possible were included in the sample.

[24] https://www.food.gov.uk/sites/default/files/795-1-1408_FS145004_-_Social_Science_in_Slaughterhouse_0.pdf

[25] Ibid.

Six of the 12 SH were in England, with two each from Scotland and Wales respectively, and one from Northern Ireland, to ensure the research also took account of geographic location.

**Table 4.2: Achieved sample of case study SHs**

| | | Slaughterhouse size (i.e. level of throughput) | | |
|---|---|---|---|---|
| | | Very large/ Large | Medium | Small/Low |
| Type of pig SH | Single species | 2 | 1 | 0 |
| | Multi species | 1 | 4 | 3 |
| Geography | England | 6 | | |
| | Northern Ireland | 1 | | |
| | Scotland | 2 | | |
| | Wales | 2 | | |

## 4.3 Recruitment for case study visits

As with all qualitative research, the key to the overall success of the data collection lies in securing participation from the right kind of people in a sensitive and appropriate manner. Doing so was particularly important on a study of this nature given the level of involvement we asked for from selected SHs and the potential sensitivities regarding the legislative changes. Therefore, we took a systematic and transparent approach to recruitment which not only helped us select the right mix of SHs in the first instance, but also one which helped to secure their engagement for the long-term.

Despite the relatively small sample size, we anticipated that it would be very difficult to recruit for this study, given the limited population of pig SHs, and the demands that research of this level of intensity would place on the FBO and officials. As we knew that FBO engagement would be crucial to ensuring the success of the research, for each SH visit we made initial contact with the named FBO, and gained their agreement for the SH to take part in the research before approaching the officials.

Recruitment followed the process described below.

- Informing FBOs about the evaluation by sending out an advance letter (in hard copy and electronically by email in so far as possible) from Ipsos MORI and the FSA outlining the objectives and asking permission to visit their SH. This letter was intended to encourage participation and convince participants that their input is valuable and important. The letter provided contact details of the project team and prompted businesses to opt-in or -out of the study by sending Ipsos MORI an email or expressing their interest over the phone. As a consequence of this letter, several FBOs emailed the Ipsos MORI project team to opt-out of the research; reasons for doing so included busyness, perceived hassle, and lack of interest. The respective SHs were then deleted from the sample, ensuring they would not be contacted again during the study.

- The initial letter was clear and transparent in describing the evaluation and case study visits and informed FBOs that the FSA's objective was to assist with the implementation of the legislative changes.
- At the same time as contacting FBOs, a separate letter was sent to officials at each SH, informing them about the research and inviting their support and participation.
- After a threeday grace period, the member of the research team responsible for recruitment began making the initial phone calls to FBOs to secure involvement and arrange dates for visiting. We asked FBOs to commit to all waves of cases study visits (two or three as appropriate) of the research at this point.
- The member of the research team ran through the consent checklist at this point to make sure that the FBO fully understood the research, and the voluntary nature of participation. They were given the contact details of the Ipsos MORI project manager to allow them to raise any queries or concerns.
- FBOs were given a further 2 day period to consider if they would like to take part. We already knew that this might require a couple of calls before they gave their full commitment to the research and set a date. In reality, the fact that we were flexible and had a long enough fieldwork period meant that we spent a bit longer recruiting some SHs when they needed more time (e.g. if key decision-makers happened to be on holiday etc.).
- Once the FBO agreed to participate in the evaluation we asked them to help us in the process of engaging line operatives and officials, while being careful to stress that they must not mislead anybody about the voluntary nature of participation in interviews for the research.

We designed a flyer (based on the flyer successfully used in the Slaughterhouse Social Science Research project). This flyer, included as Appendix 4, was distributed (via the FBO) to staff in each recruited SH prior to the first case study visit. It contained the crucial information about the study, and was designed to let staff members know that further information was available in the recruitment letter, on request from their manager. It also contained contact information for members of the research team, who could talk through any aspect of the study or use of the data in more detail. The intention was that FBOs would position it on the wall in a communal area, e.g. where a line operative takes their break / lunch, however on-site checks suggested none of the SHs did this. Nevertheless, a couple of line operative supervisors said they had seen the flyer, and stated it was helpful as it allowed them to convey information about the research to line operatives.

Separately, the member of the research team telephoned OVs and (where possible) MHIs to inform them of the study and proposed visit, invite their participation, run through the consent checklist and request they confirm our independence if questioned by FBO or line operatives.

Recruiting SHs for the pre-implementation case study visits proved to be challenging, as was found in the previous Social Science Research Project Ipsos MORI carried out for the FSA. Whilst we were confident that the recruitment approach was fit for purpose, that we would achieve our quotas, we expected recruitment would continue to be difficult for the post implementation visits due to the reluctance of some FBOs to commit to social research. A number of reasons were identified to help explain why FBOs took this stance. First, participation was seen as a hassle even when the research was framed in way to suggest their participation would be beneficial, e.g. how FSA can further support implementation. Second, the priority of FBOs is running their businesses and meeting customer orders and there was sometimes a concern that research participation would affect this, despite assurances given. Third, SHs sometimes felt they were over-researched and that they were yet to see any benefits from participation. Ultimately, we were able to recruit the required number of SHs across the three waves of case study visits, but the difficulties in meeting the agreed samples meant that it took longer than anticipated, which had a knock-on effect on when we were able to complete the study.

## 4.4 Pre case study preparation

Previous experience of conducting research in SHs made Ipsos MORI aware of the variability between SHs and how they operate. This made it important that we were flexible in our approach and made bespoke plans for each SH. The measures discussed below were implemented in the set-up stage and helped us to plan each case study visit before our arrival.

### 4.4.1 Pre-visit information gathering pro-forma

We designed a pro-forma (see Appendix 3) to help capture the information we knew we would need about each SH before the case study visits. This was populated during pre-visit telephone conversations with the FBO and/or officials in each SH. It included information about hours of operation, throughput, where the SH sources its animals, workforce size, managerial structure (e.g. FBO, supervisor etc.) and roles (e.g. production and technical team), size of regulatory team (e.g. number of MHIs), work and break patterns and when different audiences would be most likely to have time to talk. Information on the workforce was important in deciding who exactly to speak to in each SH. Within the line operative category, we looked at the staffing structure in each SH we proposed to visit, and, as appropriate, spoke to supervisors, those with responsibility for production and technical matters, and any others in relevant roles (e.g. slaughter foreman) in addition to the FBO, MHI(s) and OV(s).

As well as providing information that assists with recruitment, the pro-forma also provided useful contextual information for analysis, for example on throughput and workforce size. This both added to and verified the information held in the sample.

### 4.4.2 Setting up interviews

Researchers organised interviews through the FBO before arriving on site, and, once there, were as flexible as possible. As FBOs did not want the research to affect production in any way there was some difficulty arranging times to access MHIs and SH staff for depth interviews, especially in smaller SHs where staffing levels mean that it is impossible to arrange cover. We interviewed a few participants during their break, lunchtime or at the end of their shift. We also offered to interview staff off-site after the working day was finished but, due to the extended amount of time we spent on-site, this proved unnecessary.

While officials and in particular the OV generally had more flexibility in their work and were somewhat easier to access, their time is perceived as being expensive (i.e. the charge for the provision of veterinary services paid by each SH) and a few were concerned that FBOs would not appreciate us taking up their time. Where this was noted, we ensured that a few OV interviews took place after animals were slaughtered to ensure the research did not disrupt production.

## 4.5 Conducting the case study visits

### 4.5.1 On arrival at the SHs

There were two Ipsos MORI researchers per case study visit: the senior researcher acted as the lead, conducting the bulk of the interviews, with the second researcher taking notes. These notes were far more extensive than if a single researcher did the interviews and took their own notes, which is particularly important given the difficulty of audio recording (e.g. due to high noise level) in a SH, and the potential for a large number of interviewees to refuse to be recorded.

On arrival at the SH, the senior Ipsos MORI researcher introduced themselves and the purpose of the visit. This was usually a very brief round table discussion that convened the FBO, the OV, an MHI and representatives of line operatives (e.g. supervisor) who were participating in the research. Similar to the start of any interview or discussion group conducted for social research, this helped to reassure all those who are the intended focus of the research that the Ipsos MORI researchers are independent of the FSA or any government organisation and that our intention was to find out how embedded the changes were, and why, but not pass judgement on current practices. It was also important to confirm that the participants and the SH itself would not be directly identified to the FSA, in case this affected the nature of people's responses or behaviour. This introductory stage was essential for facilitating engagement and respect from target audiences over the case study visit.

All reassurances about the voluntary nature of the research, confidentiality, anonymity, and, if necessary for reassurance, the reporting of illegal behaviour was repeated at the start of every interview as well.

### 4.5.2 Depth interviews

We chose to conduct depth interviews with each of the key audiences in SHs to help us understand reactions to the legislative changes across the spectrum of SH staff e.g. FBOs, MHIs, OVs and line operatives. Whilst the key audiences of the evaluation were the FBO and officials, interviewing the breadth of staff listed above gave us a comprehensive view of the new system at each SH, with reduced potential for bias or misrepresentation. It also enabled the research team to be in a position to answer all the objectives.

Flexible depth interviews:

- Helped interviewees to feel comfortable and therefore enabled them to be candid when speaking about their understanding of the legislative changes and their own behaviour and that of others in relation to these.
- Allowed researchers to build trusting relationships with participants which helped to maintain participation across all research visits.
- Allowed researchers to give more detail about the research and answer any questions participants had, e.g. how the findings would be used.
- Aided the data collection process by minimising the strong social norms and macho responses that can be generated by the group dynamics of a male dominated workplace.

The individuals we interviewed at each SH (depending on the size of the SH) included:

- Meat Hygiene Inspector(s)
- Official Veterinarian(s)
- Food Business Operator
- Individual(s) employed in an FBO's technical team, as they were felt to better placed to answer some of the questions for the FBO. Technical teams were usually found in larger SHs but this was something we asked at recruitment.

Researchers spoke to staff employed across a range of tasks to get the full range of views and practices, and were flexible, which usually meant speaking to more people in the larger SHs and fewer in the smaller establishments.

Interviews lasted around 45 minutes. Researchers used a topic guide to structure the course of the interview to ensure the same key areas were covered with each participant, ensuring we were better able to cross-reference findings and draw

comparisons between how different individuals saw the new system. The guide was flexible, and acted as a framework for discussing the research questions, so researchers adapted and pursued lines of inquiry as they arose and were responsive to the issues raised by the interviewees. The guides were refined as the research progressed to reflect the changing focus of the case study visits, e.g. from awareness and understanding to reported implications.

The topic guides for each wave of the research are included in Appendix 6.

### 4.5.3 Silent observation

We conducted a tightly defined observational research element. The focus of the silent observation was on key elements of the legislative changes and therefore on observing production practices and inspection points to see, for example, if incision or palpation on every carcass continued or if practices had changed.

Observational research complemented interview data by capturing detail on FBO and official practices that seemed to be difficult for them to articulate. Observation was not a means of checking up on participants, and this was made clear to them. Rather, by focussing on examples of behaviours relevant to the legislative changes (e.g. the use of knives, the process of identifying which carcasses required FIP) the roll out of these changes was better understood. Researchers used an observation pro-forma to guide their notes for this element of the research. The pro-forma is included in Appendix 6.

The rationale for keeping this observation work silent was that once you start asking someone about what they are doing they commonly become overly conscious of their activity and are more likely to give rationalised, thought-out responses. In the SH environment another reason to keep it silent was the danger inherent in distracting employees whilst they were working.

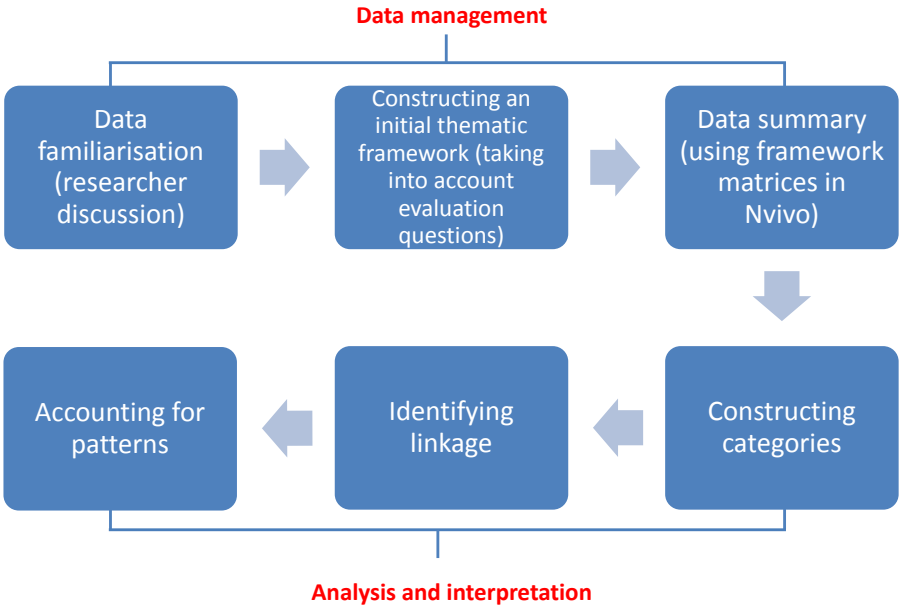
As with all research of this nature the presence of the researcher could change the behaviours of those under observation. The pre-visit communications and initial briefing (discussed above) were key in minimising this risk; researchers reassured all of those who were observed that their role as researchers was not to audit or assess.

In addition, researchers observed for around one hour, but did not take any notes in the first twenty minutes. It was felt this would give those being observed the chance to get used to and become less aware of the researcher's presence and therefore less likely to be consciously changing their behaviour in a way they thought desirable. In this way, this method aimed to reduce the Hawthorn Effect.[26]

## 4.6 Analysis and reporting

We adopted a thematic analysis approach that focussed on interrogating the data to draw out key themes in relation to the research questions included at the start of this document. The approach moved systematically from the data to the level of abstraction shown in the diagram below i.e. analysis and interpretation. It also incorporated a robust data management process, thus allowing reporting to remain grounded in the data.

[26] http://psychology.about.com/od/hindex/g/def_hawthorn.htm




The approach – in conjunction with a well-designed sample – allowed us to answer the evaluation questions, and, ultimately, enabled the research team to establish if the legislative changes were rolling out as intended and the reasons why or why not.

### 4.6.1 Data management approach

Interviewers and/or note-takers took extensive verbatim notes during their case study visits, as well as recording observational notes in a structured pro-forma. Most interviews were digitally recorded, allowing researchers to refer back to them at the data management stage. However, a few MHIs did not want to be recorded, even after assurances around confidentiality and anonymity were given. There were concerns among MHIs that the legislative changes would adversely affect their employment prospects and, although those we approached were happy to participate, some felt uncomfortable about being recorded. In such cases, detailed field notes formed the raw data set for analysis.

The dataset that was generated across the two/three visits to each of the case study SHs was vast, including two/three sets of interviews (with 3-6 participants each time) per SH, and three sets of observational data. The challenges included:

- organising all of the data we collected into a simple, easy-to-navigate database which allowed us to arrange it thematically according to the evaluation questions;
- developing the database in a way which meant that it could be searched systematically so that information on a particular topic or type of SH or type of participant could be accessed and collated quickly;
- knowing the database, and its contents, well enough that it could b be made to work hard in answering the central research questions at all levels.

Our approach used two key approaches: collaborative analysis and robust data management using Framework in Nvivo.

### 4.6.2 Trialling the approach to analysis

The analysis framework was set up before the pre-implementation case study visits so it could be tested at the start of data collection. We used the analytical software tool Nvivo to process the analysis. In order to trial this approach to the analysis we took the following steps:

- Designed the framework and set up of the Nvivo file
- Entered the data collected through the pre-implementation case study visits
- Constructed the categories relevant to the analysis of the evidence collected
- Sought to identify linkages or patterns in the data
- Discussed with FSA what the outputs from the analysis would look like based on the current analysis framework and method for interpretation
- Made amendments to the analytical framework and the Nvivo file.

### 4.6.3 Data familiarisation and discussion

Researchers met regularly during fieldwork in a dedicated meeting space within Ipsos MORI's secure offices equipped with analysis walls which facilitated the drawing together of key themes. In these sessions our views on data management approach and key themes were developed and discussed. Only anonymised data was written on the analysis walls, which was photographed and removed immediately so it could only be viewed by the project team.

The main benefit of these meetings was that they allowed the entire fieldwork team to discuss the data and research questions, and refine and develop our thinking as we went along. This occurred in several ways:

- Creating (in the first instance) and updating (following each meeting) the Framework for managing and summarising the data, which was added to over the course of the study, as new issues and areas to explore are identified.
- Developing a shared understanding of the data within the team. This came from intense discussion around the evaluation questions which often arrived at consensus (or consensus on non-consensus) on what the data was telling us.
- Using this shared understanding to plan and structure the detailed exploration of the managed data in order to draw out themes, links and explanation.

This approach to analysing the data was extremely effective, particularly as it allowed researchers to share their experiences of the fieldwork and understand the outcomes of data collected by other researchers as well as their own. This allowed the researchers to challenge and be challenged on their reflections and it was this process in particular that yielded a more nuanced account of what was going on. It also allowed us to address any issues arising from the data collection and recording tools themselves. This was particularly important on this study, as it ensured the Ipsos MORI project team developed the best materials possible for each subsequent wave of case study visits.

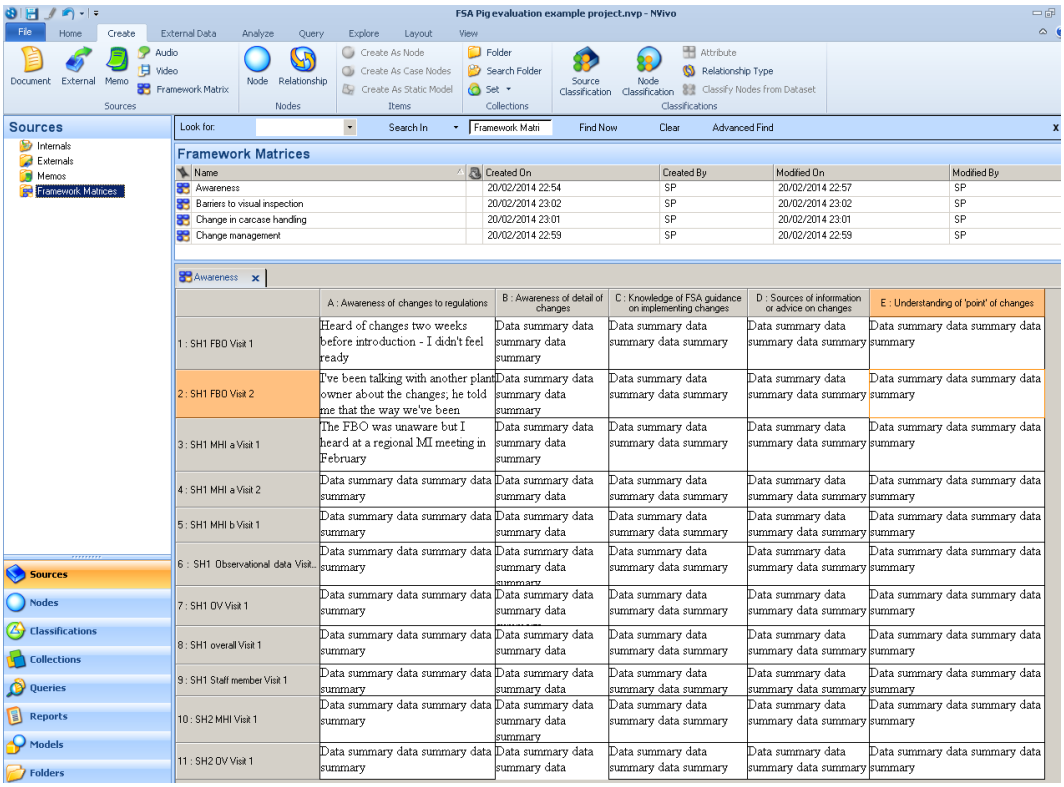
### 4.6.4 Analysis Framework

We used Nvivo qualitative analysis software as a tool, and the Framework approach to data management27. Based on the analysis sessions, we identified the key topics and issues arising in the case study visits. An analysis framework was drawn up and a series of matrices set up, each relating to a different thematic issue. The columns in each matrix represented the key sub-themes or topics and the rows represented particular SHs, in-depth interviews or observations.

Data was then summarised into the appropriate cells. This meant that the data was ordered in a systematic way that was based in the participants' own accounts, while oriented to the evaluation questions. The screenshot below shows an

[27] https://mthoyibi.files.wordpress.com/2011/10/qualitative-research-practice_a-guide-for-social-science-students-and-researchers_jane-ritchie-and-jane-lewis-eds_20031.pdf

example of an initial 'matrix' that was created for the project. The matrix contained all of the summarised data for a particular overall topic (awareness). The rows each covered one interview/observation (with another row for the SH at an overall level), while the columns represented subthemes. Further columns and entire new matrices were added as new themes emerge. In this way, all of the relevant data from each interview/observation was systematically summarised.




Using the Framework method in NVivo allowed a flexible approach to the creation of matrices, meaning new columns/topics were added during the data management process as required. The summarised data from the research was hyperlinked to the raw data, so that each part of the dataset that was relevant to a particular topic was noted, and ordered. This meant that researchers moved from the summarised to the original data, depending on the level of analysis and detail required.

The matrices were developed after the pre and post implementation visits. Following these visits, matrices were added to the framework and the existing matrices were refined and updated. This ensured our analysis identified changes in emphasis in the things said by participants in each visit and captured new topics that were reported as the new regulations did / did not become embedded.

The final analysis stage involved working through the captured data, drawing out the range of experiences and views, identifying themes, looking at similarities and differences and interrogating the data to seek to explain emergent patterns and findings. We repeated this process at each stage of reporting, adding to and updating our understanding of the themes, links and explanations. This approach meant that the analysis:

- Allowed the analysis to remain grounded in the raw data
- Allowed systematic and comprehensive coverage of the data
- Permitted within- and between-case searches, which allowed for the development of:

  - thematic categories and patterns across different SHs or specific actors across and within different SHs e.g. OVs, MHIs.
  - linkage between phenomena within one SH/the account of one actor
  - linkage in phenomena between groups of SHs/actors
- Afforded transparency to others

The approach to data management and analysis as outlined above worked well. This approach was particularly useful when the volume of data became higher when the challenge was sifting through the findings while drawing out the links to the central evaluation. The overall analytic findings were discussed and developed in team analysis sessions, while the Framework approach to data management allowed for detailed and systematic comparison of different audiences and SHs across themes. Therefore this approach was used for analysis of the data collected in the post implementation visits, with some changes and additions to the thematic headings in the Framework grids to account for the changing focus of the cases study visits from awareness and understanding to reported implications of the legislative changes.

### 4.6.5 Reporting

Ipsos MORI delivered a short key findings report following the pre-implementation and the first wave of post implementation case study visits. These unpublished reports ensured the FSA policy team could react to the key findings as they emerged and allowed the research team to take into account the methodological learning for the subsequent stages of data collection. The final process evaluation report brought together evidence collected from across the lifetime of the project.

The structure of each report was agreed after each wave of post-implementation fieldwork, but in general they were structured around the analytical framework set-out in the Theory of Change. The final report was structured as follows:

- Awareness, understanding and views of the legislative changes: details how interviewees became aware of the changes, and their opinion of them;
- Implementing the legislative changes in practice: explains if and how the changes were implemented and whether FSA expected processes are being followed;
- Implications of legislative changes: explains predicted implications of the changes in relation to the practices, time and resource and immediate outcomes associated with the new legislation; and
- Key learning points: details the learning points for the FSA, provides longer-term lessons for similar implementation.

The final report made use of verbatim comments in order to help ground the findings in participants' language and views. It underwent two rounds of substantive comments from FSA (co-ordinated and prioritised by the FSA project manager), and was peer reviewed.

### 4.6.6 Interpreting the findings

The process evaluation report presented the findings from qualitative case study research conducted over 2/3 waves. The research examined views of the legislative changes, the implementation of the legislative changes, and reported implications of them. The views expressed in the report are those of the participating SHs alone. It should be noted that these views and perceptions may not be factually accurate, but they represent the truth to the participants themselves. Moreover, as with any qualitative research, we were unable to make inferences about whether the views of those sampled were representative of those of the wider population of similar SHs; this is due to the small sample size and the large self-

selection element in this research. Rather, these qualitative case study visits provide in depth insights into the views and perceptions of participants in order to understand the roll-out and implementation of the legislative changes 'on the ground'.

### 4.6.7 Quality Assurance

Data collection

Case study visits were conducted by paired researchers. One took verbatim notes while the other conducted the interview; the notes were then typed up by one of the researchers. These field-notes were then reviewed for accuracy by the other researcher (who referred back to audio recordings where necessary and available). Fieldnotes for each case were also reviewed by a member of the core team who did not conduct the visit to check for quality and consistency, and ensured that answers to all of the evaluation questions were collected. These field-notes were not interpretative – they were based solely on the interviewees' exact words. They differed from transcripts in volume only, and indeed were preferable to reliance on transcripts given the difficulty of obtaining a full set of audio recordings across SHs.

Data input and analysis

These raw field-notes were then imported to NVivo by a member of the core research team. The data summarisation process was quality assured on the same principle, i.e. one of the researchers who conducted the fieldwork checked the summarised dataset for the case(s) they conducted to ensure that data remained grounded in participants' language, and contained all of the pertinent details from the case study.

The overall analytic process was quality assured by the project director, who attended analysis sessions to ensure that the evaluation questions were addressed and, along with the project manager, quality checked the analytic outputs and reports against the managed dataset to ensure that the range of views and practices across cases were represented, and that the analysis adequately and accurately described and explained linkages across and within cases.

## 4.7 Ethics

This research followed the Government Social Research principles in the following ways:

### Principle 1: Sound application and conduct of social research methods and appropriate dissemination and utilisation of the findings.

Ipsos MORI conducts social research in accordance with the MRS Code of Conduct. The successful execution of this project was facilitated through the assembled research team's experience of conducting research in the SH environment which helped to ensure our approach was fit for purpose and answered the evaluation questions. In addition, the project team were experienced researchers with expertise in the application of the chosen methodologies to ensure that the social research methods were applied successfully.

We provided reports in line with FSA requirements and to this effect we allocated c.6 weeks at the reporting stages for comments from FSA social science research unit (SSRU), relevant policy team, and for the final report the FSA appointed a peer reviewer. We informed the FSA that we would be happy to chair a workshop at FSA for those interested in interacting with the findings to help ensure that the findings are embedded.

### Principle 2: Participation based on valid informed consent

Our approach to recruitment and data collection was grounded in this principle, and designed in a way that ensured that all participants in the research did so in a fully informed manner and on a voluntary basis.

An advance letter explaining the nature of the research was sent out to all FBOs and officials prior to recruitment. These letters were sent in both Welsh and English to SHs in Wales. On first contact, the recruiter used a consent checklist that ensured they explained the research clearly, reminded potential participants that taking part was voluntary, and reassured participants that the research would be undertaken under strict data protection, ethical and quality standards. The senior researcher also ran through this checklist over the phone when they called participants to confirm visit timings in the week before the visit. This checklist is included in Appendix 1.

Before the case study visits we asked that FBOs inform all staff that participation was voluntary. We also sent the FBO flyers to distribute to staff in the SH to explain the nature of the research and participation. The flyer also provided contact details in the case of further questions (please see Appendix 4 for a copy of the flyer). The flyer was translated into Welsh. In this way, we took all reasonable steps to ensure all of the potential research participants were informed about the aim and voluntary nature of the research before the researchers arrive onsite.

When seeking consent at the start of the interview, interviewers fully described the participants' rights, and reminded them that participation was voluntary, as per standard protocol when conducting interviews in accordance with the MRS code of conduct and GSR guidelines. Researchers ran through the consent checklist prior to each interview, and obtained verbal (informed, voluntary) consent from each participant. The date that verbal consent was obtained was recorded for each participant to provide greater accountability and evidence that all participants were informed and willing.

This process was repeated in subsequent visits to ensure that participants were aware that consent to one interview did not mean that they consented to further follow-up interviews. If participants had subsequently withdrawn their consent (which none did) then their interviews to date would have been removed. We did not recommend obtaining written consent, as in our experience this would have introduced a barrier to participation for those who were concerned that the FSA might have found out that they had taken part in the study, and thus did not want a written record (for some this was the perception despite researcher reassurances in relation to data protection). Not only would this have reduced the response rate but it had the potential to bias the research as it would have increased the likelihood that the people who did take part were attitudinally different to those who refused.

Researchers were also briefed to be aware that, in some SHs, it may have been communicated to some SH staff (e.g. line operatives) or officials that their participation in interviews was expected. Researchers made sure that, where they suspected this to be the case, they took extra time to explain the voluntary nature of participation to ensure that they gained informed consent. We did not recommend taking a formal written record of this as this may have made participants sceptical of our ability to preserve their anonymity.

During the introductory meeting we asked that FBOs inform all staff and OVs inform MHIs that researchers would be undertaking silent observations. The observational element was also highlighted in the flyer, and researchers reiterated it to MHIs that they interviewed. We made clear the purpose was to examine work practices not assess individual performance.

### Principle 3: Enabling participation

A sound inclusion/non-exclusion policy was vital both methodologically and ethically and that de-selection on language grounds should not occur. Efforts were made to maximise participation from respondents who did not have English as their first language. We assessed the need for translation before we conducted all case study visits. The advance letter was translated if required.

We had a Welsh speaking bilingual qualitative researcher on hand to conduct fieldwork in Wales. This researcher conducted fieldwork on the FSA Slaughterhouse Social Science Research Project, and therefore had strong knowledge of the SH environment. Participation of Welsh speakers was accommodated via the use of this researcher to interview employees of the SH in Wales. The researcher was comfortable interviewing in Welsh from English language materials, so we did not made arrangements for translating research materials.

We also had access to a network of interviewers who can speak other languages and we liaised with the SHs to ensure we had the right languages to speak with the people who were most relevant to the evaluation.

### Principle 4: The avoidance of personal harm

There are three strands to this: protecting the researcher, protecting the participants and potentially protecting the animals.

Throughout the study we reassured potential participants that we were not making a judgement and that we were simply interested in finding out more about the roll-out of the legislative changes governing official controls in pig SHs. It was important to ensure that no participant or SH was identified in the research, that no judgement was made about individual participants or workplaces, and that the FSA was not expecting the research team to report back at this level. It was not the researcher's place to enforce the law and as such it was agreed with the FSA that researchers would not step in if they saw illegal or apparently unethical behaviour, or that which appears to contravene FSA guidance. That said, we agreed we would give feedback on the extent to which the new system was embedded but again we would not report findings at the individual SH level.

To protect participants, researchers were aware of risk to the workers' (and researchers') safety from undue distraction and all researchers were briefed to observe silently and not to intervene in any way when observing the production line and to ensure that informal follow-up conversations were conducted at a safe distance from the line when staff/officials were not working.

It was also agreed with the FSA that researchers would not report back on technical practices and the use of machinery because interviewers did not have the expertise to judge whether the practices and the use of machinery observed are safe or unsafe. In addition, in order to abide by instructions for the prevention of potential harm (interviewer and participant) we stood some distance away from any machinery.

To protect researchers, qualitative fieldwork staff received a thorough briefing about the project held at Ipsos MORI offices. Only researchers confident about entering the SH environment were asked to do so. All researchers were given the option of leaving the project should they need to and counselling was available if required, though this was not anticipated as most of the proposed team was already experienced in the SH environment. In addition, Ipsos MORI has an interviewer safety policy, and all staff undertaking face-to-face fieldwork are required to attend a training session on

personal safety. Our approach of having two researchers per visit rather than sending one researcher was important as there would then be on-site peer support.

To protect animals, we worked closely with FSA in advance and with the SH management on-site to ensure our activities never distracted employees from their work. That said, our observations were focused on post mortem inspection.

### Principle 5: Non-disclosure of identify and personal information

Ipsos MORI is required to comply with the Data Protection Act. Ipsos MORI is accredited to ISO 27001:2005 international standard for information security designed to ensure the selection of adequate and proportionate security controls. Ipsos MORI was the first research company in the UK to be awarded this in August 2008. We anonymised the data sets as soon as they were received so there were not any significant risks regarding the disclosure of personal information

The FSA was the data controller of outputs produced during the research, but it was agreed that they would not receive any personal or organisational details of participants.

As shown in our previous research in SHs it was impossible for researchers to offer anonymity at a SH level because it was impossible to ensure that officials (e.g. MHIs employed by the FSA) in SHs would not discuss the research with their superiors. We do not believe that our inability to preserve this anonymity impacted on response rates, thus in this respect we avoided a biased sample of SHs.

However, within these constraints, we tried to preserve anonymity as much as possible. We took the following measures (and researchers explained these issues fully to all research audiences on recruitment and in the briefings on the first day of each case study):

- Slaughterhouses that have taken part will not be named in the final report;
- Findings would not be reported at an individual SH level. At most, we will report by throughput of SH (low, medium, high), type of SH and compliance band/rating, but not in combination; and
- Verbatim comments would not be quoted where respondents may be identifiable, for example an OV in a high throughput SH (as there are as few as 5 large SHs in the wider population, and any reference to location etc. could have rendered responses identifiable).
- There was no instance in which Ipsos MORI would report back to FSA in a way that would risk identifying any participant or SH.

Even following these measures, it was impossible to promise full anonymity to FBOs and OVs, as there is only one per SH. Given the larger sample sizes researchers were still able to offer anonymity to MHIs and SH staff e.g. line operatives (and this is arguably more important in securing cooperation from these particular groups, as well as honest responses).

Our experience of conducting research in the SH environment also made us aware that it was possible that during interviews unsolicited comments in relation to bullying or physical harm to humans or animals could be made to a researcher. Although this did not occur in any of the visits, the approach agreed with the FSA was to advise the participant to report the issue to the OV/MHI or FBO in that SH. If the participant felt uncomfortable doing so, it was also agreed with FSA that we could, with the explicit consent of the participant involved, inform the OV/MHI/FBO that the issue of bullying or physical harm had been raised but we'd have to protect anonymity. If we had observed bullying, we would have raised it in an ad-hoc interview to get the recipient's perspective and would have discussed with them whether they wanted us to pass on anonymised feedback (i.e. following the same route as above).

## 4.8 Methodological challenges and implications for research

As with any process evaluation, it is important to highlight any methodological challenges and assess their impact on the evidence put forward.

### Recruitment challenge

#### The challenge

As noted, despite the fact that we deployed a number of tried and tested measures to secure FBO participation, recruitment was very difficult and time-consuming. There was reluctance among FBOs to take part – most commonly this was due to concern that involvement would impact on production e.g. pulling a line operative and / or official away from the processing line. This concern remained despite Ipsos MORI researchers offering assurances they would flex around FBO commitments/business need. In addition, it was difficult to recruit SHs due to lack of availability of key decision-making staff, particularly for the first wave of post implementation visits in summer 2014. As a consequence, it took longer than anticipated to recruit the eleven SHs, which meant that some post implementation case study visits were still being carried out in late October 2014, almost five months after the implementation date.

#### Impact on interpretation of findings - LOW

Despite this delay, participants took part in a detailed discussion about the communication work which happened prior to the implementation date, and, importantly, discussed the effectiveness of different information sources / communication channels for raising awareness and understanding of the legislative changes.

### Lack of qualitative data on changes to *Salmonella* testing

#### The challenge

The study generated very little insight into the new regime for *Salmonella* testing. As noted in the process evaluation report, none of the three export SHs affected by the new testing regime had exceeded the threshold for corrective action, so for participants in such SHs, questions on how the change was working in practice did not work.

#### Impact on interpretation of findings – LOW

There is undoubtedly a lack of data on the change to *Salmonella* testing in comparison with the other legislative changes. However, this is made clear in the report, and reflects that for most SHs the change is not expected to affect them. The interim evaluation report did reveal that a new system has been developed to fulfil Competent Authority and EU Commission reporting requirements, which initially did not appear to be well understood until FSA communicated a clarification. Slaughterhouses affected by the change also stated the practice of taking samples for *Salmonella* testing would be the same under the new testing regime.

## Plants exporting to third countries

### The challenge

Slaughterhouses exporting to countries outside the EU have not implemented visual inspection. They stated they were waiting on the outcome of negotiations jointly led by Defra / FSA to see whether export markets in third countries would accept visually inspected pig product for the UK. FSA had made an exception for SHs of this nature and had told them they need not implement the change until FSA could confirm that visual inspected pig product would be accepted.

### Impact on interpretation of findings – LOW

Participants in SHs of this nature were able to provide useful information on awareness, understanding and views of the changes; however this issue meant that information on how visual inspection is working in the largest pig SHs is not as extensive as in small and medium sized ones. That said, we did visit one large and two medium / large non-export SHs, which was particularly useful, as they allowed us understand how larger SHs have adapted to the change to visual inspection. This learning could be transferred to SHs with similar levels of throughput.

# Appendices

# 5 Appendices

The appendices to this technical report include the following documents:

1. Consent checklist for recruiter and researchers
2. Fact sheet for recruiters
3. Pro-forma for capturing contextual information prior to case study visit
4. SH staff information flyer (English and Welsh translation)
5. Introductory and re-engagement letter for FBOs and officials (English and Welsh translation)
6. Research materials – topic guide and observation guide for pre-implementation case study visit, and first and second post implementation case study visits

## Appendix 1: Consent checklist for recruiter and researchers

Recruiters will ensure each of the following points have been covered with each potential participant they speak to. Researchers will also go through this checklist with participants when making confirmation calls, and in person at the start of each interview with each research participant across the project. No interviews will take place until these points have been fully explained and the participant has indicated that they fully understand and agree to take part on this basis.

Recruiters are to ensure that:

- The research and its purpose have been explained, participant understands what taking part in this project will mean and has had time to ask questions and these have been answered satisfactorily
- Participants understand that the research is voluntary (i.e. their right to participate or say no), that they don't have to answer anything they don't want to and that they are free to withdraw from the study at any point without giving a reason and without any negative consequences.
- Participants understand that they will take part in the research under the condition of anonymity and confidentiality. Ipsos MORI complies with the Data Protection Act, and the Market Research Society Code of Conduct. The FSA will be the data controller of this research which means that they own the data collected, but they will not receive any personal or organisational details of participants, or any raw data collected during the project.
- Participants understand that because of the presence of FSA employees in SHs, it may be possible that the identity of SHs taking part may become known to other FSA staff. Information that could identify someone or their workplace - such as names and locations etc. - will not be included in the report, will be kept confidentially by Ipsos MORI, not used for purposes beyond this research, and destroyed when the research is complete. All information will be treated in accordance with the Data Protection Act 1998
- Participants have been informed that the findings will be written up for internal use by the FSA and publication by the Food Standards Agency.
- Participants have contact details for members of the core research in case of any questions or concerns, or if they wish to withdraw consent.
- Participants understand that if researchers are party to unsolicited comments re: bullying or physical harm to humans or animals the researcher would advise the respondent to report the issue to the OV/MHI or

FBO in that SH. If the participant feels uncomfortable doing so, the researcher could with explicit consent of the involved participant inform the OV/MHI/FBO that the issue of bullying or physical harm had been raised.

- Participants understand that researchers won't report back on technical practices and the use of machinery.

Pre-interview only:

- Participants have been asked if, subject to the uses of data outlined, they are happy for the interview to be recorded, making it clear that they can still be interviewed if they don't want it to be recorded.

## Appendix 2: Fact sheet for recruiters

### What is the research about?

This evaluation is to help FSA achieve a number of goals:

- Understand what factors stifle and/or permit the implementation of the new system.
- Identify best practice and/or models of excellence, with emphasis on those which can be transferred to other UK pig approved SHs.
- Establish where and in what areas FSA can do more to help e.g. training, information etc.

Additionally, in the May visits we will be exploring your views on what FSA should be measuring so it can understand what impact the changes are having.

### Why should you take part?

It's important to hear from a range of SHs to understand their experiences and needs.

The research will help inform FSA about how they can help you more, so by being involved you can ensure your needs are taken into account.

### Who has been invited to take part?

We are looking for a range of different SHs by throughput and whether or not you handle single or multi-species in your SH.

FSA was involved in setting these criteria and providing your contact details but does not know exactly who Ipsos MORI have approached.

We are asking the FBO for permission to visit their SH but are also approaching resident officials because we need the buy-in from everyone in order for the research to be successful.

### What will be involved?

We will send two researchers to each SH. They will visit two or three times in total (May and August 2014, and late 2015). Each visit will be pre-arranged to ensure the timing is convenient for you.

For each visit researchers will spend the day with you and would like to interview c.3-6 people (depending on size/structure of SH).

Specifically they want to speak with people in the following roles, and if possible we would like you to help us arrange interview times in advance for each. The researchers might also speak to other people informally if there is time during breaks or lunch:

- FBO (Food Business Operator) and site manager if different
- Meat Inspector (s)
- Official Vet (OV)
- Line operatives

Nobody is required to take part but we hope you will work with us to encourage participation and to help people realise the benefits to them of taking this opportunity to share their honest views

During the visit they will also request to observe key points along the slaughter line to understand how the legislation is working in practice

The researchers will be familiar with the SH environment and fully understand the importance of not interrupting the slaughter line

### What will happen to the data?

This is research and not related to audit or inspection. It is not mandatory but you (and other SHs) will benefit from having your opinions heard.

Anything observed or said in your SH will not be fed back to FSA in a way that can identify either the individual or organisation.

The main output will be a report, produced by Ipsos MORI, which will look at all the responses from the different SHs that took part and will draw out key themes and any notable exceptions. This will be done in a way that does not identify individuals or the SH they work in.

After the interviews are complete, Ipsos MORI will send FSA their notes from the different interviews and observations with any information that can identify either the individual or the SH removed.

All data associated with this research (your contact details, interview and observation notes etc.) will be stored in line with requirements of the Data Protection Act 1998.

## Appendix 3: Pro-forma for capturing contextual information prior to case study visit

| | |
|---|---|
| Slaughterhouse information<br>ID<br>Business name<br>Address<br>Contact details | |
| HACCP / compliance scores | |
| FBO name<br>Other key staff e.g. technical manager | |
| Timing: suggest date using team availability. If unsuitable ask them when them what date they would prefer and check availability spreadsheet | |
| Throughput: single/ multi animal and average numbers - note any variations by days of week/season | |
| Officials: note size of team and any names of OV(s) and MHI(s) | |
| Workforce: probe on size, structure, note any names of employees it would be useful to speak to e.g. supervisor, trade union rep or particular line staff | |
| Slaughterhouse timings When is slaughter carried out, when is busiest. Helps to plan when day will run | |
| Work and break patterns: FBO, employees, officials if possible | |
| Inspection points: number of quality and food safety inspection points | |
| Planning: what would be the best way to structure the visit? | |
| Languages spoken by staff: assess need for interpreters | |
| Researcher safety: Anything to bear in mind? Will they be able to provide wellies, overalls/coats, hairnets etc. for researchers | |

## Appendix 4: Slaughterhouse staff information flyer

English version

### Pig Slaughterhouse Research Project

#### Who are the Food Standards Agency and Ipsos MORI?

The Food Standards Agency is responsible for meat official controls in approved fresh meat premises, and DARD carry out these controls on behalf of the FSA in Northern Ireland. Ipsos MORI is an independent research company which has been commissioned by FSA to carry out some research in approved pig SHs on their behalf.

#### What are we here for?

The FSA want to understand how food business operators, managers, staff and officials are reacting to the new rules on pig inspection that apply from 1st June.
To help with this, researchers from Ipsos MORI will be observing and interviewing food business operators, managers, staff and officials in 12 approved SHs across the UK in May and August 2014, and June 2015. The findings will be presented to FSA in a written report, which will be published on the FSA website (early 2016).

#### How does this affect me and how can I help?

Ipsos MORI researchers will be visiting your place of work and you may see them as they observe the process, or people. **It is important to understand that they are not assessing you or any aspect of the SH and visits to establishments are not intended to be an official inspection**. Fieldwork is for research purposes only. Researchers will also be interviewing food business operators, managers, staff and officials. Participation in interviews and chats is completely voluntary, but we would be very grateful of your participation in this important piece of FSA research.

#### Will I be identified in the research?

No. Anything you say to Ipsos MORI will not be linked back to you personally. The report will not identify an individuals or individual SHs. All personal data will be handled in compliance with the Data Protection Act 1998.

#### Who can I contact to get more information about the research?

Please ask your manager for a copy of the information letter, or feel free to contact either Tim Silman (0207 347 3833) or Sarah Pope (02073473981) at Ipsos MORI and they will be happy to answer any questions you may have about the research. There is information available on the FSA website here: http://www.food.gov.uk/news-updates/news/2014/may/survey#.U3XnCYFdXTo

Welsh translation

Prosiect Ymchwil Lladd-dai Moch

## Pwy yw'r Asiantaeth Safonau Bwyd ac Ipsos MORI?

Mae'r Asiantaeth Safonau Bwyd (ASB) yn gyfrifol am reolaethau swyddogol ar gig mewn safleoedd cig ffres cymeradwy. Yr Adran Amaethyddiaeth a Datblygu Gwledig (DARD) sy'n cynnal y rheolaethau hyn ar ran yr ASB yng Ngogledd Iwerddon.
Mae Ipsos MORI yn gwmni ymchwil annibynnol sydd wedi'i gomisiynu gan yr ASB i gynnal gwaith ymchwil mewn lladd-dai moch cymeradwy ar ei rhan.

## Pam ein bod ni yma?

Hoffai'r ASB ddeall sut mae gweithredwyr busnesau bwyd, rheolwyr, staff a swyddogion yn ymateb i'r rheolau newydd ar arolygiadau moch a fydd yn gymwys o 1 Mehefin.
Fel rhan o'r broses, bydd ymchwilwyr o Ipsos MORI yn arsylwi ac yn cyfweld â gweithredwyr busnesau bwyd, rheolwyr, staff a swyddogion mewn 12 o ladd-dai cymeradwy ledled y DU ym mis Mai a mis Awst 2014, a mis Mehefin 2015. Bydd y canfyddiadau'n cael eu cyflwyno i'r ASB mewn adroddiad ysgrifenedig, ac yn cael eu cyhoeddi ar wefan yr ASB yn gynnar yn 2016.

## Sut mae'r uchod yn effeithio arna i, a sut alla i helpu?

Bydd ymchwilwyr o Ipsos MORI yn ymweld â'ch safle gwaith, ac efallai y byddwch chi'n eu gweld yn arsylwi ar y broses, neu'r bobl. **Mae'n bwysig deall na fydd yr ymchwilwyr yn eich asesu chi nac unrhyw agwedd o'r lladd-dy, ac nid oes bwriad i'r ymweliadau hyn fod yn archwiliad swyddogol.** Mae'r gwaith at ddibenion ymchwil yn unig. Bydd yr ymchwilwyr hefyd yn cyfweld â gweithredwyr busnesau bwyd, rheolwyr, staff a swyddogion. Mae cymryd rhan mewn cyfweliadau a sgyrsiau yn gwbl wirfoddol, ond byddwn yn gwerthfawrogi'n fawr pe gallech fod yn rhan o'r ymchwil bwysig hon.

## A fydda i'n cael fy enwi yn yr ymchwil?

Na fyddwch. Ni fydd modd olrhain unrhyw wybodaeth yr ydych chi'n ei rhannu gyda Ipsos MORI atoch chi. Ni fydd yr adroddiad yn enwi unigolion na lladd-dai unigol, a bydd yr holl ddata personol yn cael eu trin yn unol â Deddf Diogelu Data 1998.

## A oes modd cysylltu â rhywun i gael rhagor o wybodaeth am yr ymchwil?

A fyddech cystal â gofyn i'ch rheolwr am gopi o'r llythyr gwybodaeth. Mae croeso i chi gysylltu â Tim Silman (0207 347 3833) neu Sarah Pope (0207 347 3981) yn Ipsos MORI a byddant yn fwy na hapus i ateb unrhyw gwestiynau a allai fod gennych am yr ymchwil. Mae rhagor o wybodaeth ar gael ar wefan yr ASB drwy: http://www.food.gov.uk/news-updates/news/2014/may/survey#.U3XnCYFdXTo – cliciwch ar 'Cymraeg'.

## Appendix 5: Introductory letters for FBOs and officials

### Introductory letter for FBOs (English version)

<FBO NAME>
<ADDRESS>
<ADDRESS>
<ADDRESS>
<POSTCODE>

To Whom It May Concern,

**Evaluating changes to official controls in pig approved SHs**

We are writing to you regarding research that Ipsos MORI (an independent research agency) is carrying out on behalf of the Food Standards Agency (FSA). **The main purpose of the research is to evaluate the roll out of changes to legislation governing official controls in pig approved SHs that apply from 1st June 2014.**

The findings will be used by FSA to understand how the legislative changes are working in practice and establish where and in what areas FSA can do more to help e.g. training, information etc. Additionally, the first visits will explore views on what FSA should be measuring so it can monitor the impact of the changes.

Taking part is **a good opportunity to ensure that the FSA hears your views** about how these changes are working in practice and any suggestions you have for how you can be supported.

**This research is not a regulatory visit. It is not an official inspection or assessment of the SH in which you work.**

Findings from the research will be written up in a report for the FSA and which will be published on the FSA website (early 2016). These findings **will not be attributed to individual SHs or individuals**. Information that could identify someone or their workplace - such as names and locations etc. - will not be included in the report, will be kept confidentially by Ipsos MORI, not used for purposes beyond this research, and destroyed when the research is complete. All information will be treated in accordance with the Data Protection Act 1998.

**The SH you work in has been identified by Ipsos MORI to take part,** based upon a number of factors: geography, type of SH and throughput. The research will involve up to three one-day visits over the next 18 months, during which researchers would like to speak with a range of staff including Meat Inspectors, the Official Vet, SH staff who work on the line as well as business owners and managers.

The first visit will take place between the **12th and 30th May,** and the second and third visits will follow in **August/September 2014 and Summer 2015**. Even if you are not available in May we might still be able to include you in the research.

In the next few days Lyn Parry from the Ipsos MORI research team will call you with more details, to answer any questions and - if you are willing to take part - to arrange a convenient date to visit. We have also written to the officials in your SH asking for their support. If you are willing to take part Lyn will call them directly to encourage them to take part and to give them more details.

**We would be very grateful for your support** for this very important piece of FSA research. If you have any questions or concerns regarding the research, please do not hesitate to get in touch with us or the relevant FSA contacts using the details overleaf. More information can be found at the following web link: http://www.food.gov.uk/news-updates/news/2014/may/survey#.U3I1bKLyBJI

Kind regards,

Sarah Pope
Ipsos MORI

## Ipsos MORI Contacts

Sarah Pope
Research Manager
0207 347 3981
Sarah.Pope@ipsos.com

Tim Silman
Research Executive
0207 347 3833
Tim.Silman@ipsos.com

David Candy
Research Assistant
0207 347 3970
David.Candy@ipsos.com

## FSA Contacts

Helen Atkinson
Social Science Research Unit
Food Standards Agency
T: 020 7276 8743
E: Helen.Atkinson@foodstandards.gsi.gov.uk

Ouafa Doxon
EU Regulatory Reform
Food Hygiene & Microbiology Division
Food Standards Agency
T: 020 7276 8355
E: Ouafa.doxon@foodstandards.gsi.gov.uk

Introductory letter for FBOs (Welsh translation)

<FBO NAME>
<ADDRESS>
<ADDRESS>
<ADDRESS>
<POSTCODE>

Annwyl gyfaill,

**Gwerthuso'r newidiadau i reolaethau swyddogol mewn lladd-dai moch cymeradwy**

Dyma ysgrifennu atoch ynglŷn â gwaith ymchwil sy'n cael ei gynnal gan Ipsos MORI (asiantaeth ymchwil annibynnol) ar ran yr Asiantaeth Safonau Bwyd (ASB). **Prif ddiben y gwaith ymchwil yw mesur effaith y newidiadau i'r ddeddfwriaeth sy'n llywodraethu rheolaethau swyddogol mewn lladd-dai moch wedi'u cymeradwyo a fydd yn gymwys o 1 Mehefin 2014 ymlaen.**

Bydd y canfyddiadau yn cael eu defnyddio gan yr ASB i ddeall sut mae'r newidiadau i'r ddeddfwriaeth yn gweithio'n ymarferol, ac i nodi ym mhle ac ym mha feysydd y gall yr ASB wneud mwy i helpu e.e. hyfforddiant, gwybodaeth ac ati. Yn ogystal â hynny, bydd yr ymweliadau cyntaf yn ystyried yr hyn y dylai'r ASB ei fesur fel bod modd iddi fonitro effaith y newidiadau.

Bydd cymryd rhan yn **gyfle da i sicrhau bod yr ASB yn clywed eich safbwyntiau** ynghylch sut mae'r newidiadau hyn yn gweithio'n ymarferol. Bydd hefyd yn gyfle da i chi gyflwyno unrhyw awgrymiadau sydd gennych o ran sut y gall yr ASB eich cefnogi.

**<u>Nid</u> ymweliad rheoleiddio yw'r ymchwil hwn. Nid yw'n arolygiad nac yn asesiad swyddogol o'r lladd-dy yr ydych yn gweithio ynddo.**

Bydd canfyddiadau'r ymchwil yn cael eu cynnwys mewn adroddiad i'r ASB, a bydd yr adroddiad hwnnw'n cael ei gyhoeddi ar wefan yr ASB (yn gynnar yn 2016). **Ni fydd y canfyddiadau hyn yn cael eu priodoli i ladd-dai unigol nac unigolion.** Ni fydd gwybodaeth a allai enwi unigolyn neu ei weithle, megis enwau a lleoliadau ac ati, yn cael ei chynnwys yn yr adroddiad. Bydd yr wybodaeth yn cael ei chadw'n gyfrinachol gan Ipsos MORI, yn cael ei defnyddio at ddibenion y gwaith ymchwil hwn yn unig, ac yn cael ei dinistrio ar ôl i'r gwaith ymchwil gael ei gwblhau. Bydd yr holl wybodaeth yn cael ei thrin yn unol â Deddf Diogelu Data 1998.

**Mae'r lladd-dy yr ydych yn gweithio ynddo wedi'i ddewis gan Ipsos MORI i gymryd rhan** ar sail nifer o ffactorau: daearyddiaeth, math o ladd-dy a'i gynhyrchiant. Fel rhan o'r ymchwil, bydd tri ymweliad yn cael eu cynnal dros yr 18 mis nesaf, a bydd pob ymwelid yn ddiwrnod o hyd. Yn ystod yr ymweliadau, hoffai'r ymchwilwyr siarad â gwahanol aelodau o staff gan gynnwys Arolygwyr Cig, y Milfeddyg Swyddogol, staff y lladd-dy sy'n gweithio ar y llinell, yn ogystal â pherchnogion a rheolwyr y busnes.

Cynhelir yr ymweliad cyntaf rhwng **12 a 30 Mai**, a bydd yr ail a'r trydydd ymweliad yn dilyn ym **mis Awst/Medi 2014 ac yn ystod Haf 2015**. Hyd yn oed os nad ydych ar gael ym mis Mai, mae dal modd eich cynnwys yn yr ymchwil.

Bydd Lyn Parry o'r tîm ymchwil yn Ipsos MORI yn cysylltu â chi dros y ffôn o fewn y dyddiau nesaf gyda rhagor o fanylion ac i ateb unrhyw gwestiynau sydd gennych. Os ydych yn fodlon cymryd rhan, bydd Lyn hefyd am drefnu dyddiad cyfleus i gynnal ymweliad. Rydym hefyd wedi ysgrifennu at y swyddogion yn eich lladd-dy i ofyn am eu cefnogaeth. Os ydych yn fodlon cymryd rhan, bydd Lyn yn cysylltu â nhw'n uniongyrchol i'w hannog i gymryd rhan ac er mwyn rhoi rhagor o fanylion iddynt.

**Byddem yn ddiolchgar iawn am eich cefnogaeth** gyda'r ymchwil pwysig hwn. Os oes gennych unrhyw gwestiynau neu bryderon am y gwaith ymchwil, mae croeso i chi gysylltu â ni neu â'r cysylltiadau perthnasol yn yr ASB drwy ddefnyddio'r manylion drosodd. Mae rhagor o

wybodaeth ar gael drwy glicio ar y ddolen hon: http://www.food.gov.uk/news-updates/news/2014/may/survey#.U3l1bKLyBJI

Yn gywir,

Sarah Pope
Ipsos MORI

**Cysylltiadau Ipsos MORI**

Sarah Pope
Rheolwr Ymchwil
0207 347 3981
Sarah.Pope@ipsos.com

Tim Silman
Swyddog Gweithredol Ymchwil
0207 347 3833
Tim.Silman@ipsos.com

David Candy
Cynorthwyydd Ymchwil
0207 347 3970
David.Candy@ipsos.com

**Cysylltiadau'r ASB**

Helen Atkinson
Uned Ymchwil Gwyddor Gymdeithasol
Asiantaeth Safonau Bwyd
Ffôn: 020 7276 8743
E-bost:
Helen.Atkinson@foodstandards.gsi.gov.uk

Ouafa Doxon
Diwygio Rheoleiddio
Is-adran Hylendid a Microbioleg Bwyd
Asiantaeth Safonau Bwyd
Ffôn: 020 7276 8355
E-bost:
Ouafa.Doxon@foodstandards.gsi.gov.uk

Introductory letter for officials (English version)

F.A.O. The FSA/DARD Inspection Team
<ADDRESS>
<ADDRESS>
<ADDRESS>
<POSTCODE>

To Whom It May Concern,

Evaluating changes to official controls in pig approved SHs

We are writing to you regarding research that Ipsos MORI (an independent research agency) is carrying out on behalf of the Food Standards Agency (FSA). The main purpose of the research is to evaluate the roll out of changes to legislation governing official controls in pig approved SHs that apply from 1st June 2014.

The findings will be used by FSA to understand how the legislative changes are working in practice and establish where and in what areas FSA can do more to help e.g. training, information etc. Additionally, the first visits will explore views on what FSA should be measuring so it can monitor the impact of the changes.

Taking part is a good opportunity to ensure that the FSA hears your views about how these changes are working in practice and any suggestions you have for how you can be supported.

This research is not a regulatory visit. It is not an official inspection or assessment of the SH in which you work.

Findings from the research will be written up in a report for the FSA and which will be published on the FSA website (early 2016). These findings will not be attributed to individual SHs or individuals. Information that could identify someone or their workplace - such as names and locations etc. - will not be included in the report, will be kept confidentially by Ipsos MORI, not used for purposes beyond this research, and destroyed when the research is complete. All information will be treated in accordance with the Data Protection Act 1998.

The SH you work in has been identified by Ipsos MORI to take part, based upon a number of factors: geography, type of SH and throughput. The research will involve up to three one-day visits over the next 18 months, during which researchers would like to speak with a range of staff including Meat Inspectors, the Official Vet, SH staff who work on the line as well as business owners and managers.

The first visit will take place between the 12th and 30th May, and the second and third visits will follow in August/September 2014 and Summer 2015. Even if you are not available in May we might still be able to include you in the research.

We have also written to the business owner/ manager asking for their support as we need to speak to a wide range of people on site. We hope you will help us to encourage them to take part. If the business owner confirms they are happy to take part, one of our team will call you with more details about our visit and to confirm your participation.

We would be very grateful for your support for this very important piece of FSA research. If you have any questions or concerns regarding the research, please do not hesitate to get in touch with us or the relevant FSA

contacts using the details overleaf. More information can be found at the following web link: http://www.food.gov.uk/news-updates/news/2014/may/survey#.U3I1bKLyBJI

Kind regards,

Sarah Pope
Ipsos MORI

Ipsos MORI Contacts

Sarah Pope
Research Manager
0207 347 3981
Sarah.Pope@ipsos.com

Tim Silman
Research Executive
0207 347 3833
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David Candy
Research Assistant
0207 347 3970
David.Candy@ipsos.com

FSA Contacts

Helen Atkinson
Social Science Research Unit
Food Standards Agency
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E: Helen.Atkinson@foodstandards.gsi.gov.uk

Ouafa Doxon
EU Regulatory Reform
Food Hygiene & Microbiology Division
Food Standards Agency
T: 020 7276 8355
E: Ouafa.doxon@foodstandards.gsi.gov.uk

Introductory letter for officials (Welsh translation)

At sylw Tîm Arolygu DARD/ASB
<ADDRESS>
<ADDRESS>
<ADDRESS>
<POSTCODE>

Annwyl gyfaill,

**Gwerthuso'r newidiadau i reolaethau swyddogol mewn lladd-dai moch cymeradwy**

Dyma ysgrifennu atoch ynglŷn â gwaith ymchwil sy'n cael ei gynnal gan Ipsos MORI (asiantaeth ymchwil annibynnol) ar ran yr Asiantaeth Safonau Bwyd (ASB). **Prif ddiben y gwaith ymchwil yw mesur effaith y newidiadau i'r ddeddfwriaeth sy'n llywodraethu rheolaethau swyddogol mewn lladd-dai moch wedi'u cymeradwyo a fydd yn gymwys o 1 Mehefin 2014 ymlaen.**

Bydd y canfyddiadau yn cael eu defnyddio gan yr ASB i ddeall sut mae'r newidiadau i'r ddeddfwriaeth yn gweithio'n ymarferol, ac i nodi ym mhle ac ym mha feysydd y gall yr ASB wneud mwy i helpu e.e. hyfforddiant, gwybodaeth ac ati. Yn ogystal â hynny, bydd yr ymweliadau cyntaf yn ystyried yr hyn y dylai'r ASB ei fesur fel bod modd iddi fonitro effaith y newidiadau.

Bydd cymryd rhan yn **gyfle da i sicrhau bod yr ASB yn clywed eich safbwyntiau** ynghylch sut mae'r newidiadau hyn yn gweithio'n ymarferol. Bydd hefyd yn gyfle da i chi gyflwyno unrhyw awgrymiadau sydd gennych o ran sut y gall yr ASB eich cefnogi.

**Nid ymweliad rheoleiddio yw'r ymchwil hwn. Nid yw'n arolygiad nac yn asesiad swyddogol o'r lladd-dy yr ydych yn gweithio ynddo.**

Bydd canfyddiadau'r ymchwil yn cael eu cynnwys mewn adroddiad i'r ASB, a bydd yr adroddiad hwnnw'n cael ei gyhoeddi ar wefan yr ASB (yn gynnar yn 2016). **Ni fydd y canfyddiadau hyn yn cael eu priodoli i ladd-dai unigol nac unigolion.** Ni fydd gwybodaeth a allai enwi unigolyn neu ei weithle, megis enwau a lleoliadau ac ati, yn cael ei chynnwys yn yr adroddiad. Bydd yr wybodaeth yn cael ei chadw'n gyfrinachol gan Ipsos MORI, yn cael ei defnyddio at ddibenion y gwaith ymchwil hwn yn unig, ac yn cael ei dinistrio ar ôl i'r gwaith ymchwil gael ei gwblhau. Bydd yr holl wybodaeth yn cael ei thrin yn unol â Deddf Diogelu Data 1998.

**Mae'r lladd-dy yr ydych yn gweithio ynddo wedi'i ddewis gan Ipsos MORI i gymryd rhan** ar sail nifer o ffactorau: daearyddiaeth, math o ladd-dy a'i gynhyrchiant. Fel rhan o'r ymchwil, bydd tri ymweliad yn cael eu cynnal dros yr 18 mis nesaf, a bydd pob ymwelid yn ddiwrnod o hyd. Yn ystod yr ymweliadau, hoffai'r ymchwilwyr siarad â gwahanol aelodau o staff gan gynnwys Arolygwyr Cig, y Milfeddyg Swyddogol, staff y lladd-dy sy'n gweithio ar y llinell, yn ogystal â pherchnogion a rheolwyr y busnes.

Cynhelir yr ymweliad cyntaf rhwng **12 a 30 Mai**, a bydd yr ail a'r trydydd ymweliad yn dilyn ym **mis Awst/Medi 2014 ac yn ystod Haf 2015**. Hyd yn oed os nad ydych ar gael ym mis Mai, mae dal modd eich cynnwys yn yr ymchwil.

Rydym hefyd wedi ysgrifennu at berchennog/rheolwr y busnes i ofyn am eu cefnogaeth, gan fod angen i ni siarad ag ystod eang o bobl ar y safle. Byddwn yn ddiolchgar pe gallech eu hannog i gymryd rhan. Os yw perchennog y busnes yn cadarnhau ei fod yn hapus i gymryd rhan, bydd aelod o'r tîm yn cysylltu â chi dros y ffôn gyda rhagor o fanylion am yr ymweliad ac i gadarnhau eich rhan yn yr ymchwil.

**Byddem yn ddiolchgar iawn am eich cefnogaeth** gyda'r ymchwil pwysig hwn. Os oes gennych unrhyw gwestiynau neu bryderon am y gwaith ymchwil, mae croeso i chi gysylltu â ni neu â'r

cysylltiadau perthnasol yn yr ASB drwy ddefnyddio'r manylion drosodd. Mae rhagor o wybodaeth ar gael drwy glicio ar y ddolen hon: http://www.food.gov.uk/news-updates/news/2014/may/survey#.U3I1bKLyBJI

Yn gywir,

Sarah Pope
Ipsos MORI

**Cysylltiadau Ipsos MORI**

Sarah Pope
Rheolwr Ymchwil
0207 347 3981
Sarah.Pope@ipsos.com

Tim Silman
Swyddog Gweithredol Ymchwil
0207 347 3833
Tim.Silman@ipsos.com

David Candy
Cynorthwyydd Ymchwil
0207 347 3970
David.Candy@ipsos.com

**Cysylltiadau'r ASB**

Helen Atkinson
Uned Ymchwil Gwyddor Gymdeithasol
Asiantaeth Safonau Bwyd
Ffôn: 020 7276 8743
E-bost:
Helen.Atkinson@foodstandards.gsi.gov.uk

Ouafa Doxon
Diwygio Rheoleiddio
Is-adran Hylendid a Microbioleg Bwyd
Asiantaeth Safonau Bwyd
Ffôn: 020 7276 8355
E-bost:
Ouafa.Doxon@foodstandards.gsi.gov.uk

Re-engagement letter for FBOs (English version)

<FBO NAME>
<ADDRESS>
<ADDRESS>
<ADDRESS>
<POSTCODE>

To Whom It May Concern,

Evaluating changes to official controls in pig approved SHs

I am writing to you on behalf of Ipsos MORI (an independent research agency) regarding on-going research that we are carrying out for the Food Standards Agency (FSA). As you may recall, **the main purpose of the research is to evaluate the roll out of changes to legislation governing official controls in pig approved SHs that applied from 1st June 2014.**

The findings of this research will be used to understand how the FSA can do more to help you in terms of providing training, information etc. **In our initial letter we informed you that we would carry out a second visit in the summer of 2015.** Taking part **is a good opportunity to ensure that the FSA hears your views** about how these changes are working in practice and any suggestions you have for how you can be supported.

**This research is not a regulatory visit. It is not an official inspection or assessment of the SH in which you work.**

Findings from the research will be written up in a report for the FSA, which will be published on the FSA website (early 2016). These findings **will not be attributed to individual SHs or individuals**. Information that could identify someone or their workplace - such as names and locations etc. - will not be included in the report, will be kept confidentially by Ipsos MORI, not used for purposes beyond this research, and destroyed when the research is complete. All information will be treated in accordance with the Data Protection Act 1998.

As per our previous visit, the upcoming research will involve a one-day visit, during which researchers would like to speak with a range of staff including Meat Hygiene Inspectors, the Official Vet, SH staff who work on the line as well as FBOs and managers. **The visit will take place between 6th and 31st July.**

In the next few days David Candy from the Ipsos MORI research team will call you with more details, to answer any questions and - if you are still willing to take part - to arrange a convenient date to visit. We have also written to the officials in your SH asking for their support. If you are willing to take part David will call them directly to encourage them to take part and to give them details.

**We continue to be very grateful for your support** for this very important piece of FSA research. If you have any questions or concerns regarding the research, please do not hesitate to get in touch with us or the relevant FSA contacts using the details overleaf. More information can be found at the following web link: http://www.food.gov.uk/science/research/ssres/foodsafetyss/fs101112

Kind regards,
Graham Bukowski
Ipsos MORI

Ipsos MORI Contacts:

Graham Bukowski
Associate Director
Ipsos MORI Social Research Institute
T: 0207 347 3456
E: graham.bukowski@ipsos.com

David Candy
Research Executive
Ipsos MORI Social Research Institute
T: 0207 347 3970
E: david.candy@ipsos.com

FSA Contacts:

Susannah Lederhose
Research Officer
Social Science Research Unit
Food Standards Agency
T: 020 7276 8773
E:
susannah.lederhose@foodstandards.gsi.gov.uk

Misty Gilbert
Higher Scientific Officer
Meat Hygiene Policy Branch
Food Standards Agency
T: 020 7276 8652
E:
misty.gilbert@foodstandards.gsi.gov.uk

Re-engagement letter for FBOs (Welsh translation)

Enw Gweithredwr y Busnes Bwyd
<CYFEIRIAD>
<CYFEIRIAD>
<CYFEIRIAD>
<COD POST>

Annwyl gyfaill,

Gwerthuso'r newidiadau i reolaethau swyddogol mewn lladd-dai moch cymeradwy

Dyma ysgrifennu atoch ynglŷn â gwaith ymchwil sy'n cael ei gynnal gan Ipsos MORI (asiantaeth ymchwil annibynnol) ar ran yr Asiantaeth Safonau Bwyd (ASB). **Prif ddiben y gwaith ymchwil yw gwerthuso effaith y newidiadau i'r ddeddfwriaeth sy'n llywodraethu rheolaethau swyddogol mewn lladd-dai moch a oedd yn gymwys o 1 Mehefin 2014 ymlaen.**

Bydd canfyddiadau'r gwaith ymchwil hwn yn cael eu defnyddio i ddeall sut y gall yr ASB wneud mwy i'ch helpu o ran darparu hyfforddiant, gwybodaeth ac ati. **Yn ein llythyr cychwynnol, fe wnaethom eich hysbysu y byddwn yn cynnal ail ymweliad yn ystod haf 2015**. Mae cymryd rhan yn **gyfle da i sicrhau bod yr ASB yn clywed eich sylwadau** am y ffordd y mae'r newidiadau hyn yn gweithio'n ymarferol. Bydd hefyd yn gyfle da i chi gyflwyno unrhyw awgrymiadau sydd gennych o ran sut y gall yr ASB eich cefnogi.

**Nid ymweliad rheoleiddio yw'r ymchwil hwn. Nid yw'n arolygiad nac yn asesiad swyddogol o'r lladd-dy yr ydych yn gweithio ynddo.**

Bydd canfyddiadau'r gwaith ymchwil yn cael eu cynnwys mewn adroddiad i'r ASB, a fydd yn cael ei gyhoeddi ar wefan yr ASB (ddechrau 2016). **Ni fydd y canfyddiadau hyn yn cael eu priodoli i ladd-dai unigol nac unigolion.** Ni fydd gwybodaeth a allai enwi unigolyn neu ei weithle, megis enwau a lleoliadau ac ati, yn cael ei chynnwys yn yr adroddiad. Bydd yr wybodaeth yn cael ei chadw'n gyfrinachol gan Ipsos MORI, yn cael ei defnyddio at ddibenion y gwaith ymchwil hwn yn unig, ac yn cael ei dinistrio ar ôl i'r gwaith ymchwil ddod i ben. Bydd yr holl wybodaeth yn cael ei thrin yn unol â Deddf Diogelu Data 1998.

Fel ein hymweliad blaenorol, bydd y gwaith ymchwil yn cynnwys ymweliad undydd lle bydd yr ymchwilwyr yn siarad ag amrywiaeth o staff gan gynnwys Arolygwyr Hylendid Cig, y Milfeddyg Swyddogol, staff y lladd-dy sy'n gweithio ar y llinell, yn ogystal â rheolwyr a gweithredwyr y busnes. **Bydd yr ymweliad yn cael ei gynnal rhwng 6 a 31 Gorffennaf.**

Dros y dyddiau nesaf, bydd David Candy o dîm ymchwil Ipsos MORI yn eich ffonio gyda rhagor o fanylion, i ateb unrhyw gwestiynau ac os ydych chi dal yn fodlon cymryd rhan, trefnu dyddiad cyfleus i ymweld â chi. Rydym hefyd wedi ysgrifennu at y sywddogion yn eich lladd-dy i ofyn am eu cefnogaeth. Os ydych chi'n hapus i gymryd rhan, bydd David yn eu ffonio yn uniongyrchol i'w hannog i gymryd rhan a rhoi rhagor o fanylion iddynt.

**Rydym yn parhau i fod yn ddiolchgar am eich cefnogaeth** gyda'r gwaith ymchwil pwysig hwn. Os oes gennych chi unrhyw gwestiynau neu bryderon, mae croeso i chi gysylltu â ni neu'r swyddogion perthnasol yn yr ASB drwy ddefnyddio'r manylion drosodd. Mae rhagor o fanylion ar gael drwy http://www.food.gov.uk/science/research/ssres/foodsafetyss/fs101112

Cofion cynnes,
Graham Bukowski
Ipsos MORI

Cysylltiadau Ipsos MORI:

Graham Bukowski
Cyfarwyddwr Cyswllt
Sefydliad Ymchwil Cymdeithasol Ipsos MORI
Ffôn: 0207 347 3456
E-bost: graham.bukowski@ipsos.com

David Candy
Swyddog Ymchwil Gweithredol
Sefydliad Ymchwil Cymdeithasol Ipsos MORI Ffôn: 0207 347 3970
E-bost: david.candy@ipsos.com

Cysylltiadau'r ASB:

Susannah Lederhose
Swyddog Ymchwil
Uned Ymchwil Gwyddor Gymdeithasol
Asiantaeth Safonau Bwyd
Ffôn: 020 7276 8773
E-bost: susannah.lederhose@foodstandards.gsi.gov.uk

Misty Gilbert
Uwch Swyddog Gwyddonol
Cangen Polisi Hylendid Bwyd
Asiantaeth Safonau Bwyd
Ffôn: 020 7276 8652
E-bost: misty.gilbert@foodstandards.gsi.gov.uk

Re-engagement letter for officials (English version)

F.A.O. The FSA/DARD Inspection Team
<ADDRESS>
<ADDRESS>
<ADDRESS>
<POSTCODE>

To Whom It May Concern,

Evaluating changes to official controls in pig approved SHs

I am writing to you on behalf of Ipsos MORI (an independent research agency), regarding on-going research that we are carrying out for the Food Standards Agency (FSA). As you may recall, the main purpose of the research is to evaluate the roll out of changes to legislation governing official controls in pig approved SHs that applied from 1st June 2014.

The findings of this research will be used to understand how the FSA can do more to help you in terms of providing training, information etc. In our initial letter we informed you that we would carry out a second visit in the summer of 2015. Taking part is a good opportunity to ensure that the FSA hears your views about how these changes are working in practice and any suggestions you have for how you can be supported.

This research is not a regulatory visit. It is not an official inspection or assessment of the SH in which you work.

Findings from the research will be written up in a report for the FSA, which will be published on the FSA website (early 2016). These findings will not be attributed to individual SHs or individuals. Information that could identify someone or their workplace - such as names and locations etc. - will not be included in the report, will be kept confidentially by Ipsos MORI, not used for purposes beyond this research, and destroyed when the research is complete. All information will be treated in accordance with the Data Protection Act 1998.

As per our previous visit, the upcoming research will involve a one-day visit, during which researchers would like to speak with a range of staff including Meat Hygiene Inspectors, the Official Vet, SH staff who work on the line as well as FBOs and managers. The visit will take place between 6th and 31st July.

We have also written to the FBO asking for their continued support as we need to speak to a wide range of people on site. We hope you will help us to encourage them to take part. If the FBO confirms they are still happy to take part, one of our team will call you with more details about our visit and to confirm your participation.

We would be very grateful for your continued support for this very important piece of FSA research. If you have any questions or concerns regarding the research, please do not hesitate to get in touch with us or the relevant FSA contacts using the details overleaf. More information can be found at the following web link: http://www.food.gov.uk/science/research/ssres/foodsafetyss/fs101112

Kind regards,
Graham Bukowski
Ipsos MORI

Ipsos MORI Contacts:

Graham Bukowski
Associate Director
Ipsos MORI Social Research Institute
T: 0207 347 3456

David Candy
Research Executive
Ipsos MORI Social Research Institute
T: 0207 347 3970

E: graham.bukowski@ipsos.com

E: david.candy@ipsos.com

FSA Contacts:

Susannah Lederhose
Research Officer
Social Science Research Unit
Food Standards Agency
T: 020 7276 8773
E:
susannah.lederhose@foodstandards.gsi.gov.uk

Misty Gilbert
Higher Scientific Officer
Meat Hygiene Policy Branch
Food Standards Agency
T: 020 7276 8652
E:
misty.gilbert@foodstandards.gsi.gov.uk

Re-engagement letter for officials (Welsh translation)

At sylw Tîm Arolygu yr Asiantaeth Safonau Bwyd / DARD
<CYFEIRIAD>
<CYFEIRIAD>
<CYFEIRIAD>
<COD POST>

Annwyl gyfaill,

**Gwerthuso'r newidiadau i reolaethau swyddogol mewn lladd-dai moch cymeradwy**

Dyma ysgrifennu atoch ynglŷn â gwaith ymchwil sy'n cael ei gynnal gan Ipsos MORI (asiantaeth ymchwil annibynnol) ar ran yr Asiantaeth Safonau Bwyd (ASB). **Prif ddiben y gwaith ymchwil yw gwerthuso effaith y newidiadau i'r ddeddfwriaeth sy'n llywodraethu rheolaethau swyddogol mewn lladd-dai moch a oedd yn gymwys o 1 Mehefin 2014 ymlaen.**

Bydd canfyddiadau'r gwaith ymchwil hwn yn cael eu defnyddio i ddeall sut y gall yr ASB wneud mwy i'ch helpu o ran darparu hyfforddiant, gwybodaeth ac ati. **Yn ein llythyr cychwynnol, fe wnaethom eich hysbysu y byddwn yn cynnal ail ymweliad yn ystod haf 2015**. Mae cymryd rhan yn **gyfle da i sicrhau bod yr ASB yn clywed eich sylwadau** am y ffordd y mae'r newidiadau hyn yn gweithio'n ymarferol. Bydd hefyd yn gyfle da i chi gyflwyno unrhyw awgrymiadau sydd gennych o ran sut y gall yr ASB eich cefnogi.

**<u>Nid</u> ymweliad rheoleiddio yw'r ymchwil hwn. Nid yw'n arolygiad nac yn asesiad swyddogol o'r lladd-dy yr ydych yn gweithio ynddo.**

Bydd canfyddiadau'r gwaith ymchwil yn cael eu cynnwys mewn adroddiad i'r ASB, a fydd yn cael ei gyhoeddi ar wefan yr ASB (ddechrau 2016). **Ni fydd y canfyddiadau hyn yn cael eu priodoli i ladd-dai unigol nac unigolion.** Ni fydd gwybodaeth a allai enwi unigolyn neu ei weithle, megis enwau a lleoliadau ac ati, yn cael ei chynnwys yn yr adroddiad. Bydd yr wybodaeth yn cael ei chadw'n gyfrinachol gan Ipsos MORI, yn cael ei defnyddio at ddibenion y gwaith ymchwil hwn yn unig, ac yn cael ei dinistrio ar ôl i'r gwaith ymchwil ddod i ben. Bydd yr holl wybodaeth yn cael ei thrin yn unol â Deddf Diogelu Data 1998.

Fel ein hymweliad blaenorol, bydd y gwaith ymchwil yn cynnwys ymweliad undydd lle bydd yr ymchwilwyr yn siarad ag amrywiaeth o staff gan gynnwys Arolygwyr Hylendid Cig, y Milfeddyg Swyddogol, staff y lladd-dy sy'n gweithio ar y llinell, yn ogystal â rheolwyr a gweithredwyr y busnes. **Bydd yr ymweliad yn cael ei gynnal rhwng 6 a 31 Gorffennaf.**

Rydym hefyd wedi ysgrifennu at weithredwr y busnes bwyd i ofyn am eu cefnogaeth barhaus, gan fod gofyn i ni siarad ag ystod eang o bobl ar y safle. Byddwn yn ddiolchgar pe gallech eu hannog i gymryd rhan. Os yw gweithredwr y busnes bwyd yn cadarnhau ei fod yn hapus i gymryd rhan, bydd aelod o'r tîm yn eich ffonio gyda rhagor o fanylion am yr ymweliad ac i gadarnhau eich rhan yn yr ymchwil.

**Byddem yn ddiolchgar iawn am eich cefnogaeth barhaus** gyda'r gwaith ymchwil pwysig hwn. Os oes gennych chi unrhyw gwestiynau neu bryderon, mae croeso i chi gysylltu â ni neu'r swyddogion perthnasol yn yr ASB drwy ddefnyddio'r manylion drosodd. Mae rhagor o fanylion ar gael drwy http://www.food.gov.uk/science/research/ssres/foodsafetyss/fs101112

Cofion cynnes,
Graham Bukowski
Ipsos MORI

**Cysylltiadau Ipsos MORI:**
Graham Bukowski David Candy

Cyfarwyddwr Cyswllt
Sefydliad Ymchwil Cymdeithasol Ipsos MORI
Ffôn: 0207 347 3456
E-bost: graham.bukowski@ipsos.com

Swyddog Ymchwil Gweithredol
Sefydliad Ymchwil Cymdeithasol Ipsos MORI Ffôn: 0207 347 3970
E-bost: david.candy@ipsos.com

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Asiantaeth Safonau Bwyd
Ffôn: 020 7276 8773
E-bost: susannah.lederhose@foodstandards.gsi.gov.uk

Misty Gilbert
Uwch Swyddog Gwyddonol
Cangen Polisi Hylendid Bwyd
Asiantaeth Safonau Bwyd
Ffôn: 020 7276 8652
E-bost: misty.gilbert@foodstandards.gsi.gov.uk

## Appendix 6: Research materials

### Research materials: pre-implementation case study visits

The main themes and subthemes to be covered in the interviews with FBOs, MHIs, OVs and technical staff are outlined below.

These are broad areas for discussion: for each the interviewer will probe thoroughly (e.g. asking why/why not) and ask follow up questions depending on the answers given.

| | FBO | MHI | OV | Staff |
|---|---|---|---|---|
| Introduction<br>Introduce self and Ipsos MORI<br>Explain the aims and objectives of the research<br>Explain confidentiality, anonymity and potential caveats<br>Interview practicalities<br>Questions and obtain informed, voluntary consent | x | x | x | x |
| Views of current legislation (probing inspection and sampling)<br>Fitness for purpose<br>Strengths/weaknesses<br>Food safety implications<br>Food quality implications<br>Other implications (e.g. resources, customer)<br>Understanding of own role/responsibilities under current regime | x | x | x | |
| Awareness and understanding of new legislation (probing inspection and sampling)<br>Awareness of changes<br>Awareness of rationale for changes<br>Awareness of detail of changes (inspection, *Salmonella,* trichinella)<br>Understanding of own role/responsibilities under new legislation<br>Sources of information/advice/support (probe all in logic model)<br>Views of new legislation (probing inspection and sampling and new information that may/will emerge) | x | x | x | x |
| Views of new legislation (probing inspection and sampling)<br>Fitness for purpose<br>Strengths/weaknesses<br>Food safety implications<br>Food quality implications<br>Data collection and reporting systems<br>Other perceived implications – positive and negative<br>(e.g. resources, skills. costs, customers/trade, new information as result of changes, systems/ processes)<br>Views on value of compliance<br>Overall costs/benefits of compliance | x | x | x | |

| | | | | |
|---|---|---|---|---|
| Preparedness for new legislation (probing inspection, sampling and changes to data collection)<br>Measures taken to prepare (e.g. what systems and processes they have designed or changed/revised)<br>Resources allocated to preparation<br>Support in preparation<br>Challenges faced/overcome<br>Self-assessment of capability to undertake any new tasks necessary<br>Self-assessment of overall preparedness (what may work well/ what may work less well). Anticipated impact on self/ SH/staff/officials/business<br>Additional support required/ requested (probe types/ from whom) | x | x | x | x |
| Views on potential measures for a monitoring system<br>Overall views on current monitoring systems<br>Suggestions for additional areas to collect data/ where impact might be observed<br>Benefits/risks/ and challenges with collection of any new data Feasibility of collecting any new data<br>Resource implications | x | x | x | |

Researchers to use a pro-forma to record their observations during the silent observations. The key aim of the observations will be to understand roles and responsibilities with relation to food safety and food quality in the SH prior to the new legislation.

Where possible, researchers should observe for c. 2 hours, taking notes only in the second hour once those under observation have had some time to acclimatise to (and potentially become less aware of) their presence. The aim of the observation is to note what is happening i.e. to describe the practices, processes and environment. Researchers will observe with the aim of being able to answer the following questions.

- What specific food safety and food quality tasks do the different audiences (SH staff, MHIs) carry out?
- How much time do they spend doing them?
- What helps / hinders the carrying out of these tasks?
- Are roles and responsibilities clear?

The headings under which information will be captured are summarised below:

- Number and placement of inspection points (food safety/food quality) – ideally captured as a diagram
- Behaviour at each of these points
- MHI food safety tasks

- MHI food quality tasks
- Non-visual inspection by MHI
- Staff food safety tasks
- Staff food hygiene behaviour
- Behaviours w/r/t meat deemed not FFHC

 

Research materials: first wave of post implementation case study visits

The primary aim of the second visit is to understand implementation of the new legislation, any early barriers to successful implementation, any new/innovative methods used to implement changes and any remaining information and support need across SHs.

Research questions to be answered using data collected in these interviews and observations:

- To what extent are regulatory officials and FBOs aware of the legislative changes? What have their information sources been?
- To what extent are they buying into the changes? What facilitates/ hinders buying in?
- Have regulatory officials and FBOs changed their practices in accordance with the new regulations? Why/ why not/ how? Did they begin this before/after 1 June 2014?
- Have regulatory officials and FBOs changed their processes, including data collection and reporting systems, in accordance with the new regulations? Why/ why not/ how? Did they begin this before/after 1 June 2014?
- Do regulatory officials and FBOs perceive any change in costs/ resources resulting from the changes?
- What do they think is working well and less well about the changes?

  Are regulatory officials and FBOs demonstrating any new or innovative approaches to embedding the changes? Do they have ideas to improve recommended practice within the scope of the regulatory changes?
- To what extent are the changes being embedded by regulatory officials and FBOs?
- Do regulatory officials and FBOs want any additional support to help roll-out/ implement the changes? What and from whom?

The main themes and subthemes to be covered in the interviews with FBOs, MHIs, OVs and technical staff are outlined below:

| | FBO | MHI | OV | Staff |
|---|---|---|---|---|
| Introduction<br>Introduce self and Ipsos MORI<br>Explain the aims and objectives of the research<br>Explain confidentiality, anonymity and potential caveats<br>Interview practicalities<br>Questions and obtain informed, voluntary consent (use checklist) | x | x | x | x |
| Awareness and understanding of new legislation (probing all elements of the changes as appropriate). Awareness of changes and when they heard about them<br>Awareness of rationale for changes<br>Awareness of detail of changes (inspection, *Salmonella, Trichinella,* Specific probes:<br>• Visual vs. traditional inspection<br>• Controlled vs. uncontrolled housing<br>• Timing of *Trichinella* testing<br>• Reporting requirements for *Salmonella*<br>• Changes to regulation and enforcement<br>• New information emerging as a result of the changes<br>Understanding of own role/responsibilities under new legislation<br>Sources of information advice, and support, probing for all in ToC<br>• Discussions on Yammer<br>• FSA/non FSA articles in trade press<br>• Information from trade bodies / unions / other<br>• Direct comms from FSA<br>Views on availability, timing and sufficiency of any training offered<br>• Online training<br>• Face to face visits from FSA in May 2014<br>Suggestions for improvements to information, support and training, including timing of this | x | x | x | x |
| TrichinellaViews of new legislation (probing all elements of the changes as appropriate)<br>Fitness for purpose<br>Strengths/weaknesses<br>Perceived food safety implications<br>• Effect on cross contamination<br>• Number of pigs declared unfit<br>• Number of positive *Salmonella* / *Trichinella* tests<br>Perceived food quality implications<br>Costs/benefits and overall value of compliance/ non-compliance | x | x | x | |
| Preparedness for new legislation (probing inspection, sampling and changes to data collection)<br>Measures taken to prepare (e.g. what systems and processes they have designed or changed/revised)<br>Individuals who took responsibility for preparation | | | | |

| | | | | |
|---|---|---|---|---|
| Self-assessment of overall preparedness at time of implementation<br>Additional support required/ requested (probe types/ from whom) | | | | |
| Implementation of new legislation (probing inspection and sampling)<br>Overall views on how (un/)successfully the new legislation has been implemented – what has worked well, what has worked less well<br>Changes to roles and responsibilities (FBO, OV, MHI, staff)<br>Changes to behaviours (FBO, OV, MHI, staff)<br>Changes to SH processes (e.g. HACCP)<br>Changes to reporting systems and information and the way information is used<br>Implementation, supervision and enforcement of corrective action<br>Any other changes (e.g. layout, costs, resources)<br>Challenges faced/overcome<br>Impact on FBO, OV, MHI, staff, SH<br>Impact on others (e.g. suppliers, customers)<br>Demonstration of any new or innovative methods<br>Overall, how well they think the new legislation is being embedded<br>What (if any) changes are still to make? What has delayed them? When will they be in place? | X | X | X | X |
| Inspection<br>How food safety inspection is carried out<br>Criteria for which post-mortem inspection 'tool' is used (traditional/visual)<br>Interchange of information between inspection points (ante and post)<br>Ease of identifying carcasss as FFHC (or unfit)<br>Change in the amount of carcass handling<br>Reporting of cosmetic/quality issues by MHIs<br>Change in trimming behaviours<br>Change in number/type of carcasss detained, condemned<br>Barriers to/Enablers of conducting VIP/FIP<br>Overall views on visual inspection in this SH | X | X | X | |
| Sampling – *Salmonella* /Trichinella<br>How sampling is carried out (probe by condition) – process and frequency<br>Change in testing results (probe by condition)<br>Need for corrective/enforcement action<br>Outcomes of corrective/enforcement action<br>Changes to data received from farms/fed back to farms<br>Implementation of new reporting requirements<br>If not implemented changes yet, when they plan to do so (probe for why not sooner) | X | | X | |
| Information and data collection<br>What data is currently collected at a SH level<br>How this is used (by SH/FSA/others)<br>Overall fitness for purpose of current monitoring systems | X | | X | |

| | | | | |
|---|---|---|---|---|
| Sense check practicality of collection and aggregation of potential measures already identified: For each-<br>• Whether currently collected<br>• Whether currently aggregated<br>• Whether currently passed on to the FSA<br>• Feasibility of collecting any new data<br>• Benefits/risks and challenges with collection of any new data<br>• Resource implications<br><br>*Specific measures to sense check as relevant*<br>• Officials' attendance at training (OV)<br>• Number of animals which undergo traditional inspection (OV)<br>• Number of lesions by trad/visual (OV)<br>• Number of carcasses detained (OV)<br>• Number of carcasses declared unfit (OV)<br>• Recording heart incisions (and endocarditis prevalence) (FBO)<br>• Results of post mortem verification tasks by trad/visual (OV)<br>• Number of *Salmonella* tests, and results (FBO)<br>• Number of *Trichinella*tests, and results (FBO)<br>• Number of accidents with knives (OV)<br>• Number of corrective actions (OV)<br>• Number of enforcement actions (OV)<br>• Number/proportion of pigs from non-controlled housing (FBO & OV)<br>• Number of returns/complaints from customers e.g. cutting SHs (OV)<br>• Cost of setting up a *Trichinella*laboratory (OV)<br>• Other changes to SH premises, and cost (FBO)<br>• Opinion survey of officials (probe for likelihood to take part) (OV/MI) | | | | |
| **Summary,** future changes and support<br>Any changes they think are innovative and any ideas to improve recommended practice within the scope of the legislative changes<br>Any changes they want to make but can't<br>Any anticipated further changes as a result of the new legislation and when these will happen<br>Anticipated further impact on SH/staff/officials/business<br>Outstanding information/support/training needs<br>Overall view of the changes, and whether they are risk-based and proportionate | X | X | X | |

Researchers to use a pro-forma to record their observations during the silent observations. The aim of the observation is to fully understand roles and responsibilities with relation to food safety (inspection and sampling) and food quality in the SH. This will allow researchers to place interview findings in context, and ask detailed follow up questions about how the new legislation works in practice on the slaughter line.

Researchers should observe for 1- 2 hours, aiming to answer the following questions.

- How is the slaughter-line set up and where are the inspection points
- What specific tasks do the different audiences carry out?
- How much time do they spend doing them?
- What helps / hinders the carrying out of these tasks?
- Are roles and responsibilities clear?

The headings under which information will be captured are summarised below:

- Number and placement of inspection points (food safety/food quality)
- Behaviour at each of these points
- MHI food safety tasks
- MHI food quality tasks
- Non-visual inspection by MHI
- Staff food safety tasks
- Staff food quality tasks
- Staff food hygiene behaviour
- Behaviours w/r/t meat deemed not FFHC
- Data collection by staff/MHI

Research materials: second (and final) wave of case study visits

The key research questions for the second wave of post-implementation visits are:

- To what extent are regulatory officials and FBOs aware of and understand any new information that has emerged as a result of the regulatory changes and is this being used? Why/ Why not?
- Do regulatory officials and FBOs perceive any change in costs/ resources resulting from the changes?
- What do they think is working well and less well about the changes?
- Are there any remaining / emerging barriers since the previous visits? Views on possible solutions?
- Are regulatory officials and FBOs demonstrating any new/innovative protocols/methods/processes to implement the changes, with a focus on what has worked well and transferrable learning?
- Do those directly affected by the legislation believe the expected medium and longer term outcomes associated with the legislative changes have been realised?
- Do regulatory officials and FBOs have ideas to improve recommended practice within the scope of the regulatory changes?
- Do regulatory officials and FBOs want any additional support? What and from whom?
- Details of each SH e.g. size of workforce, level of throughout, size of inspection teams, which will help with the development of the case studies.

The questions will be answered using data collected by in-depth interviews and observations.

The main themes and subthemes to be covered in the interviews with FBOs, MHIs, OVs and technical / production staff are outlined below:

| | FBO | MHI | OV | Staff |
|---|---|---|---|---|
| Introduction<br>Introduce self and Ipsos MORI<br>Explain the aims and objectives of the research<br>Explain confidentiality, anonymity and potential caveats<br>Interview practicalities<br>Questions and obtain informed, voluntary consent (use checklist)<br>Details of SH: size of workforce, level of throughput, size of inspection team | x | x | x | x |
| Awareness and understanding of new legislation<br>Understanding of rationale for changes<br>Sources of information, advice and support<br>• Discussions on Yammer<br>• FSA/non FSA articles in trade press<br>• Information from trade bodies/ unions/ other<br>• Direct comms from FSA<br>Views on availability, timing and sufficiency of any training offered (online training/ face to face visits from FSA May 2014)<br>Suggestions for improvements to information, support and training, including timing of this | | | | |
| Views of new legislation (probing all elements of the changes as appropriate i.e. visual inspection and sampling for trichinella, and *Salmonella*)<br>Fitness for purpose<br>Pros and cons of new legislation<br>Perceived food safety implications<br>• Effect on cross contamination<br>• Number of pigs declared unfit for human consumption<br>• Number of positive *Salmonella* / *Trichinella* tests<br>• Number of corrective actions<br>Perceived food quality implications<br>Benefits/drawbacks of the changes and overall value of compliance/ non-compliance<br>• Resources<br>• Skills<br>• Costs<br>• Customers/ trade<br>• New information as a result of changes<br>• Systems/processes (probe HACCP) | x | x | x | x |
| Implementation of new legislation (probing inspection and sampling)<br>Overall views on how (un/)successfully the new legislation has been implemented – what has worked well, what has worked less well<br>Changes to roles and responsibilities (FBO, OV, MHI, staff)<br>Changes to behaviours (FBO, OV, MHI, staff)<br>Changes to SH processes (e.g. HACCP) | x | x | x | x |

| | | | | |
|---|---|---|---|---|
| Changes to reporting systems and information and the way information is used<br>Views on supervision and enforcement of corrective action<br>Any other changes (e.g. layout, costs, resources)<br>Challenges faced/overcome<br>Impact on FBO, OV, MHI, staff, SH<br>Impact on others (e.g. suppliers, customers)<br>Demonstration of any new or innovative methods<br>Overall, how well they think the new legislation is being embedded<br>What (if any) changes are still to make? What has delayed them? When will they be in place? | | | | |
| Inspection<br>How food safety inspection is carried out at ante mortem / post mortem inspection<br>Criteria for which post-mortem inspection 'tool' is used (traditional/visual) i.e. how officials decide on inspection "tool"<br>Interchange of information between inspection points (ante and post)<br>Ease of identifying carcasss as FFHC (or unfit)<br>Change in the amount of carcass handling<br>Do FSA staff/ SH staff routinely incise hearts? For hearts that have been incised, what was the reason behind this?<br>Reporting of cosmetic/quality issues by MHIs<br>Change in trimming behaviours<br>Change in number/type of carcasss detained, condemned<br>Process for communicating reason for detainment between post mortem inspection and detained room<br>Would you foresee any major barriers if FIP reporting were to be implemented in the future, and how might these be overcome?<br>Barriers to/Enablers of conducting VIP/FIP<br>Overall views on visual inspection in this SH | X | X | X | X |
| Sampling – *Salmonella* /Trichinella<br>How sampling is carried out (probe by condition) – process and frequency<br>Challenges faced/overcome<br>Change in testing results (probe by condition)<br>Need for corrective/enforcement action<br>Outcomes of corrective/enforcement action<br>Changes to data received from farms/fed back to farms i.e. Food Chain Information indicating housing condition / condition of herd<br>Implementation of new reporting requirements | X | X | X | X |
| **Summary,** future changes and support<br>Any changes they think are innovative and any ideas to improve recommended practice within the scope of the legislative changes<br>Any changes they want to make but can't<br>Any anticipated further changes as a result of the new legislation and when | X | X | X | X |

| | | | |
|---|---|---|---|
| these will happen<br>Anticipated further impact on SH/staff/officials/business<br>Outstanding information/support/training needs<br>Overall view of the changes, and whether they are risk-based and proportionate | | | |

Researchers to use a pro-forma to record their observations during the silent observations. The aim of the observation is to fully understand roles and responsibilities with relation to food safety (inspection and sampling) and food quality in the SH. This will allow researchers to place interview findings in context, and ask detailed follow up questions about how the new legislation works in practice on the slaughter line.

Researchers should observe for c1 hours, aiming to answer the following questions.

- How is the slaughter-line set up and where are the inspection points
- What specific tasks do the different audiences carry out?
- How much time do they spend doing them?
- What helps / hinders the carrying out of these tasks?
- Are roles and responsibilities clear?

The headings under which information will be captured are summarised below:

- Number and placement of inspection points (food safety/food quality)
- Behaviour at each of these points
- MHI food safety tasks
- MHI food quality tasks
- Non-visual inspection by MHI
- Staff food safety tasks
- Staff food quality tasks
- Staff food hygiene behaviour
- Behaviours w/r/t meat deemed not FFHC

**Graham Bukowski**
Associate Director
graham.bukowski@ipsos.com

# For more information

3 Thomas More Square
London
E1W 1YW

t: +44 (0)20 3059 5000

**www.ipsos-mori.com**
**http://twitter.com/IpsosMORI**

## About Ipsos MORI's Social Research Institute

The Social Research Institute works closely with national governments, local public services and the not-for-profit sector. Its c.200 research staff focus on public service and policy issues. Each has expertise in a particular part of the public sector, ensuring we have a detailed understanding of specific sectors and policy challenges. This, combined with our methodological and communications expertise, helps ensure that our research makes a difference for decision makers and communities.