



Food Standards Delivery Review

Report of Findings

Aaron Esler

Food Standards Agency

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Executive Summary

1.0 Introduction

- 1.1.** Within the Regulating Our Future ('ROF') workstream to consider the delivery of food standards controls in England, Wales and Northern Ireland, as a preliminary step it was necessary to identify and understand the current landscape of food standards delivery, to provide a solid evidence base from which we can develop recommendations for further consideration.
- 1.2.** The Food Standards Delivery Review was carried out between 12th March and 16th May 2017. An invitation to complete the survey via the SurveyMonkey web platform, was emailed to the Lead Officer from each local authority ('LA') across England, Wales and Northern Ireland ('E/W/NI') with enforcement responsibilities in relation to food standards legislation. The survey sought information relating to the current delivery model/s being employed in respect of official controls and enforcement work relating to food standards. 104 local authorities responded to this survey, comprising 80 English LAs, 16 from Wales and 8 from Northern Ireland.

Research Aim

- 1.3.** The survey sought to establish a baseline in respect of the current delivery of food standards official controls across England, Wales and Northern Ireland, and included 57 questions covering aspects such as resource/capacity, competence, the planning and prioritisation of food standards work and the ways in which success/impact is measured. A copy of the questionnaire is included in the Annex to this report.

Key findings

People

- 1.4.** The survey indicated that there is significant variation in available food standards resource between LAs, and between E/W/NI, increasing the potential for inconsistency in the delivery of official controls;
- 1.5.** Levels of resource in England are generally lower than in Wales and Northern Ireland, with 22% of English LAs having less than 1 Full-Time Equivalent ('FTE') dedicated to food standards work. This resource could be further reduced by an increased demand in other areas in which the officer has enforcement responsibilities, leading to a lack of resilience/capacity in the food standards regulatory system;
- 1.6.** Many LAs do not have a stated minimum service requirement for food standards which, coupled with a lack of ringfenced funding for food standards delivery by LAs, could lead to further reductions in resource in future;

- 1.7.** Responses indicate a lack of new personnel entering the profession via the Trading Standards Qualification Framework ('TSQF'), with issues concerning both the numbers of students coming into food standards regulation, and the capacity of LAs to provide adequate support and practical experience to trainees.
- 1.8.** There are increased numbers of environmental health practitioners ('EHPs') now enforcing food standards legislation across England and Wales however there is a lack of information relating to the levels of training and support provided, and the ways in which competence is ensured and maintained. Respondents highlighted issues with the importance placed on food standards considerations when delivered with food hygiene during a combined inspection.

Reporting & Oversight

- 1.9.** LAs in England and Wales appear to be struggling to comply fully with their obligations relating to interventions due under the Food Law Code of Practice ('FLCOP') and feel the current approach does not enable the effective targeting of resource, although they do appear to be focusing their resources on Category 'A' rated establishments (high risk);
- 1.10.** Overall, 15% of food businesses are unrated for food standards risk, however the figures for some LAs are higher.
- 1.11.** 54% of respondents indicated that they measure the impact/success of their food standards work;
- 1.12.** Where impact/success is monitored, this is often limited to arbitrary indicators such as numbers of notices issued/inspections achieved, rather than quantifying the impact the service has had on local businesses and consumers;
- 1.13.** This highlights the difficulty in determining the impact of food standards work in general, using indicators focused on outcomes, which has previously been acknowledged in respect of trading standards functions¹.

Intelligence-Led Working

- 1.14.** Alternative approaches to delivery have been, or are being, adopted by many LAs for a number of reasons, for example to allow for the more effective targeting of resource to address specific/identified risk, leading to potential inconsistencies within the regulatory system;
- 1.15.** There is widespread use of intelligence by LAs in planning & prioritising food standards, however this is not fully recognised in the Food Law Code of Practice ('FLCOP');
- 1.16.** Regional food standards groups are an important conduit for sharing knowledge, expertise & intelligence and ensuring consistency, particularly as

¹ *'The Impact of Local Authority Trading Standards in Challenging Times' – BIS/CTSI, March 2015*

resources in individual local authorities reduce and experienced officers are lost through redundancy and natural wastage;

- 1.17.** Significant value is placed in the Public Analyst service, which undertakes a number of support functions including sample analysis, supporting enforcement action, providing technical expertise and assisting in identifying potential issues/emerging risks;
- 1.18.** The removal of central funding from the FSA is likely to have an increased impact on food standards sampling activity in future;
- 1.19.** Issues with the current food business registration process hamper the ability of LAs to identify and risk assess new business in line with FLCOP requirements.
- 1.20.** Allergens (particularly in catering establishments), high risk food businesses and unrated/new businesses are the most common food standards priorities for LAs.

Changing Business Behaviour

- 1.21.** Whilst many LAs offer a range of services to businesses to assist compliance, there is an inconsistent approach to the provision of business advice and guidance across the three countries. There is no charge for business advice services in Northern Ireland, however in England and Wales a range of free and charged-for advice services are being offered. Cost recovery arrangements are most prevalent in England, particularly in County authorities, but vary in terms of cost and the charging mechanisms adopted;
- 1.22.** 46% of respondents across England and Wales indicated that they had Primary Authority Partnerships covering food standards (the Primary Authority scheme does not extend to Northern Ireland).

2. Background

- 2.1. The delivery of food standards official controls, covering aspects such as the quality, composition, labelling, presentation, chemical contamination and advertising of food, currently differs between England, Wales and Northern Ireland ('E/W/NI'). In England and Wales, enforcement responsibilities in this area have historically sat with trading standards services, in England either at county council level, or within a single tier local authority (e.g. unitary, Metropolitan Borough, London Borough); and in Wales, at unitary authority level. In Northern Ireland, however, food standards official controls have historically been undertaken by environmental health practitioners ('EHPs'), at district council level.
- 2.2. The current approach to the delivery of food standards controls is specified within the Food Law Code of Practice ('FLCOP'), for which there are separate versions covering England, Wales and Northern Ireland. Whilst the underpinning requirements are broadly similar between the three Codes, there are some differences, for example in relation to qualifications, and permitted alternative intervention rating schemes for food standards (i.e. National Trading Standards scheme is permitted in England and Wales in certain circumstances).
- 2.3. The [Chartered Trading Standard Institute's \(CTSI\) workforce survey 2017²](#) provides an overview of the state of LA trading standards services, across England, Scotland and Wales. The report builds on findings from [the National Audit Office, Protecting Consumers From Scams, Unfair Trading And Unsafe Goods December 2016³](#), which acknowledges that a loss of resource and reduction in size of Local Trading Standards services have led to gaps in coverage at a local level.
- 2.4. The Workforce Survey highlights that:
 - Long term budget analysis confirms a 50% fall in actual trading standards spending in the last seven years, with a loss of 48.4 qualified officers in a single year between the 2016 and 2017 Workforce Surveys;
 - 64% of authorities feel they cannot recruit or retain skills;
 - There were vast differences in the budget changes between services. Some services have seen budget increases, the largest being 20%. However, other services have experienced drastic cuts, with one service seeing a 61% fall in its budget over a single year;
 - Staffing costs make up 84% of expenditure with 0.8% of budgets allocated to training costs;
 - Respondents were asked whether their staff had skills in a number of core trading standards areas. Food standards scored lowest amongst the named skills;

² <https://www.tradingstandards.uk/media/documents/news--policy/surveys/ctsi-workforce-survey-2017.pdf>

³ <https://www.nao.org.uk/wp-content/uploads/2016/12/Protecting-consumers-from-scams-unfair-trading-and-unsafe-goods.pdf>

- ‘Food Safety’ was listed sixth in the table of current priority issues for trading standards services, behind doorstep crime, consumer safety, rogue traders, protecting vulnerable consumers, finance & fraud and scams;
- Figures 11 & 12 of the report noted that *“just over 50% of services think they have the skills to protect consumers in their area (which) is a troubling statistic in itself. Paired with the concern expressed that services cannot recruit/retain expertise – along with the evidence shown elsewhere in this survey – this indicates that cutbacks are having detrimental effects on the sustainability of some services, ultimately to the detriment of consumers.”*

2.5. As a major transformation programme Regulating Our Future (‘ROF’) is aiming to modernise and re-shape the regulatory regime for food. The programme will change the way food businesses are regulated across England, Wales and Northern Ireland. In taking a whole system approach, as part of ROF the FSA is keen understand the ways in which LAs currently fulfil their obligations with respect to food standards.

2.6. The enforcement split between food standards and food hygiene seems to be relatively unique to the United Kingdom. In the 2015 IPSOS Mori Report “Research on the modernisation of the risk intervention rating systems for UK food establishments”⁴ (prepared for the Food Standards Agency), international approaches to the risk assessment of food businesses were considered. The report found that few countries refer specifically to ‘food standards’ factors when describing how they determine the frequency of establishment inspections, with Denmark (chemical factors), Slovenia (food quality & labelling) and Iceland (labelling & packaging) the exceptions among the 23 countries surveyed. In other cases, the control of food standards is typically carried out using national annual sampling or monitoring plans.

2.7. Effective food standards delivery helps to support the ROF principles by:

- Ensuring that adequate controls are being undertaken to ensure that food is safe and is what it says it is;
- Providing businesses with the tools they need to ensure that food they produce is safe and what it says it is;
- Ensuring consumers have access to the advice and guidance they need to make informed choices about the food they eat, and;
- Recognising where businesses do the right thing for consumers, and taking appropriate action against those that do not, creating a level playing field for businesses.

2.8 To assist with the Food Standards workstream within the ROF programme a baseline survey was carried out, the aim of which was to gather information to help provide an accurate picture of the current delivery of food standards controls across E/W/NI, and to identify any barriers to effective delivery within the current system, and identify any examples of best practice or innovative delivery which

⁴ <https://www.food.gov.uk/sites/default/files/media/document/fs517009finrep.pdf>

could potentially be explored on a wider scale and support the workstream going forward.

2.9 Whilst some data relating to the delivery of food standards controls was already available, in particular through the Local Authority Enforcement Monitoring System ('LAEMS'), and specific FSA audit activities, as part of the ROF programme the FSA was keen to obtain a clear view of the current delivery model, from the point of view of those responsible for ensuring the delivery of official food standards controls within their authority. As such, a survey was developed, seeking information from local authority lead officers covering a number of aspects of food standards delivery.

2.10 This report details the findings of the 'Food Standards Delivery Review' survey, which, together with other sources of data such as those mentioned above, will form an evidence base to be included in our consideration of the development of further recommendations in this important area of work.

3. Methodology

3.1. Design and Implementation

- 3.1.1. The survey consisted of 57 questions and took approximately 45-60 minutes to complete. The survey questions were mostly multiple choice, with the opportunity to provide free text responses to provide further detail for certain questions. A copy of the survey questions can be found in **Annex II**. The survey was open to respondents from the 12th March 2018 with an initial deadline of 6th April 2018, however this was subsequently extended until 16th May 2018.
- 3.1.2. The survey was delivered using Survey Monkey, and an invitation was sent via email to the Lead Officer with responsibility for food standards in each LA across E/W/NI, totalling 167 LAs. The survey was further promoted via the FSA Smarter Communications platform⁵, the Food Standards and Labelling Focus Group and regional food standards groups, and by the Association of Chief Trading Standards Officers ('ACTSO').

3.2. Analysis of results

- 3.2.1. 104 LAs responded to the survey, comprised of 80 English, 16 Welsh and 8 Northern Irish authorities. The overall response rate was 62.2%, broken down by country as follows - England 58.3%, NI 72.7% and Wales 84.2%. Furthermore, not all respondents answered all questions, so the number of respondents can vary from question to question (specified where relevant). Where 'free text' responses have been referenced within the report, these reflect the views of particular respondents, and may not necessary reflect those of the enforcement community as a whole.
- 3.2.2. To analyse the data, the FSA conducted qualitative analysis of free text responses, specifically thematic content analysis (i.e. examined text for themes, categorised according to themes, interpreted and described). Whilst this approach was subjective it provided deeper insights into participants' perceptions than a purely quantitative approach, as did the free text response options which allowed space for spontaneous expression of views.
- 3.2.3. Quantitative analysis was carried out on the responses to the closed questions, to investigate the most common responses to each of the questions where answers given were linked for example to LA type/job role where relevant.
- 3.2.4. Both types of data were structured thematically: the quantitative data showed the big picture and important information about the sample, while the qualitative data often helped understand what participants thought in more depth and shaped recommendations.

⁵ <https://fsa.riams.org/marketing>

3.2.5. Where graphs include a reference to average figures, error bars have been included, calculated on the standard error corresponding to the responses received, to provide an indication as to the levels of uncertainty associated with these results.

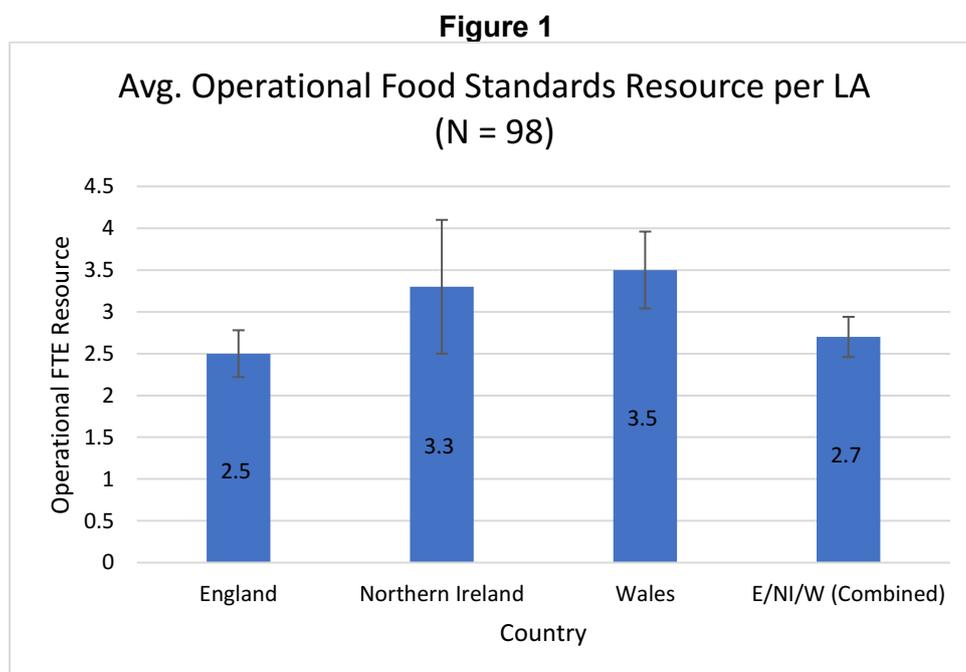
4. Findings

4.1. Resource

4.1.1. Respondents were asked a number of questions relating to available resource for the delivery of food standards official controls, to provide an overall picture of available resource and to identify potential resource issues in individual local authorities.

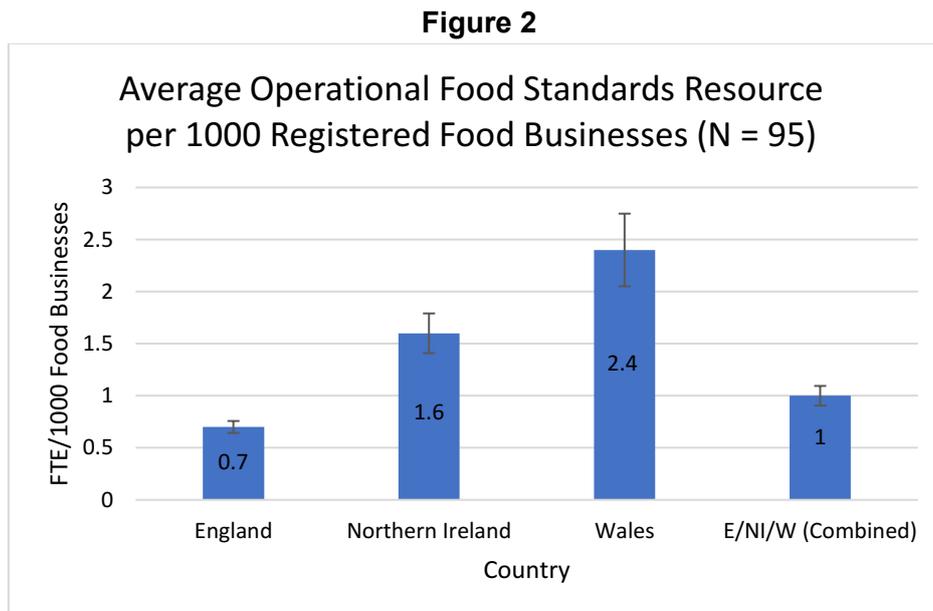
4.2. Current Resource

4.2.1. The survey highlighted the significant variation in available resource, both between England, Wales and Northern Ireland, but also between individual Local Authorities within the same Country. Figure 1 below shows the average LA Full Time Equivalent ('FTE') resource specifically involved in the delivery of food standards official controls.



4.2.2. Breaking these figures down further, the average FTE food standards resource for English single tier authorities was 1.7 (N = 56, SD = 1.68), compared to 4.7 for County councils, which operate on a two-tier basis, whereby food standards controls are delivered by trading standards services who sit within the County council structure, while environmental health functions are undertaken at a District council level within the County area (N = 18, SD = 3.16). 29% of respondents from English single-tier local authorities reported having less than one FTE currently undertaking food standards official controls, with one respondent stating that they currently had no resource for food standards work and a further four reporting an FTE food standards resource of 0.25 or lower.

4.2.3. Due to the variation in size and economic landscape between individual local authorities, to provide a more effective reflection of current resource respondents were also asked to state the number of food businesses currently registered⁶ with their LA (or with the District Councils within the County for two-tier authorities). These figures were examined in relation to the stated FTE food standards resource in each LA to establish an FTE food standards resource per 1000 registered food businesses. Figure 2 below shows the average FTE resource per 1000 registered food businesses, by Country (N = 95).



4.2.4. The responses indicate variation between the three countries, with England having the lowest resource to facilitate the delivery of food standards controls, although average figures between English single tier and county local authorities were broadly similar when considered alongside the number of food businesses (0.7 FTE per 1000 food businesses for single-tier authorities, 0.6 FTE for county). In total, 77% of respondents from English local authorities reported an operational food standards resource of less than one FTE per 1000 registered food businesses, compared to 7% for Wales and 0% for Northern Ireland.

4.2.5. Respondents were asked to indicate whether there had been any change to their operational food standards resource over the last three years. Whilst 40% of respondents indicated that their LA had maintained its operational food standards resource at the same level over this period, 43% stated that their LA had reduced its available resource, with over 25% of respondents reporting a reduction of 25% or greater (N = 94).

4.2.6. Examining the responses given to provide an indication of the change in operational food standards resource over the previous three years, the survey

⁶ In accordance with Regulation (EC) 852/2004 Article 6(2), and the Food Law Code of Practice, food businesses must register with their local authority environmental health department (located at District or Unitary Council level) and this should be completed at least 28 days prior to opening.

results indicated that there has been an overall 13% reduction over the specified period (N = 94). Examining the responses for each country separately, the reported overall change in resource is as follows:

- England: Overall reduction of 16.1%
- Northern Ireland: Overall reduction of 0.2%
- Wales: Overall reduction of 2.5%

4.2.7. The CTSI 2014 Workforce Survey indicated that staff numbers in trading standards (who have traditionally delivered official food standards controls in England and Wales) had halved since 2009, indicating that the overall resource in England and Wales has suffered greater reductions over the longer term.

4.2.8. All respondents stated that officers delivering food standards controls within their LA have enforcement responsibilities in other areas of regulation, including non-food matters in England and Wales. This increases the potential for the operational food standards resource to be significantly impacted by demand in other areas, for example in the case of a major incident or complex investigation.

4.2.9. Respondents were asked whether the number of registered food businesses had increased, reduced or remained consistent over the previous three years. Whilst responses to this question were based on a subjective determination by the respondent, Lead Officers are well-placed to provide an estimation as to whether the overall number of food businesses is increasing, reducing, or remaining generally consistent within their LA area, and as such these have been included in the analysis. Over this period, whilst LAs reported that resources have reduced overall, respondents indicated a general increase in the number of registered food businesses, increasing the demand for food business advice and food standards interventions, with only one respondent indicating a reduction, as shown in Figure 3 below.

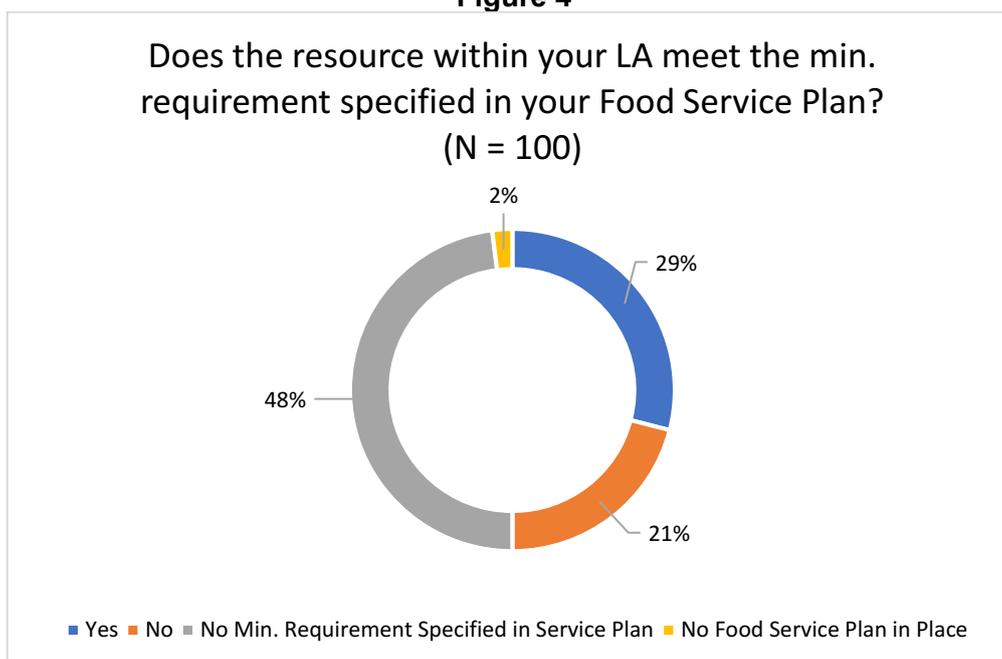
Figure 3



4.3. Service Planning

- 4.3.1. The FLCOP states that “Each Competent Authority must have an up-to-date, documented Food Service Plan which is readily available to food business operators and consumers”. Despite this, one respondent indicated that their LA had no such service plan in place, while 16 (16% of the 103 respondents who indicated they had a service plan in place) stated that theirs was not published, although it may still be available on request to businesses and consumers. 11% of respondents indicated that their service plan had not received approval from the relevant elected member forum within their LA.
- 4.3.2. Respondents were asked to indicate whether their current resource satisfied any ‘Minimum Service Requirement’ for the delivery of food standards official controls laid down in their Food Service Plan. The Framework Agreement on Official Feed and Food Controls by Local Authorities⁷, published by the Food Standards Agency, includes guidance on what should be considered as part of a local authorities Food Service Plan. Under the Framework Agreement guidance. LAs should state “...the number of posts required to deliver the service”.

Figure 4



- 4.3.3. Figure 4 shows that the majority of respondents indicated there was no minimum resource requirement specified in their Food Service Plan. The 2017 CTSI Workforce Survey states that “Due to the complexity of the work of trading standards, and the varying priorities between services, CTSI has avoided stating a minimum number of staff that are required to protect consumers”. By establishing an evidence-based minimum service requirement however, local authorities can help to ensure that they are equipped to fulfil their obligations

⁷ https://signin.riams.org/files/display_inline/45532/frameworkagreementno5-18122017.pdf

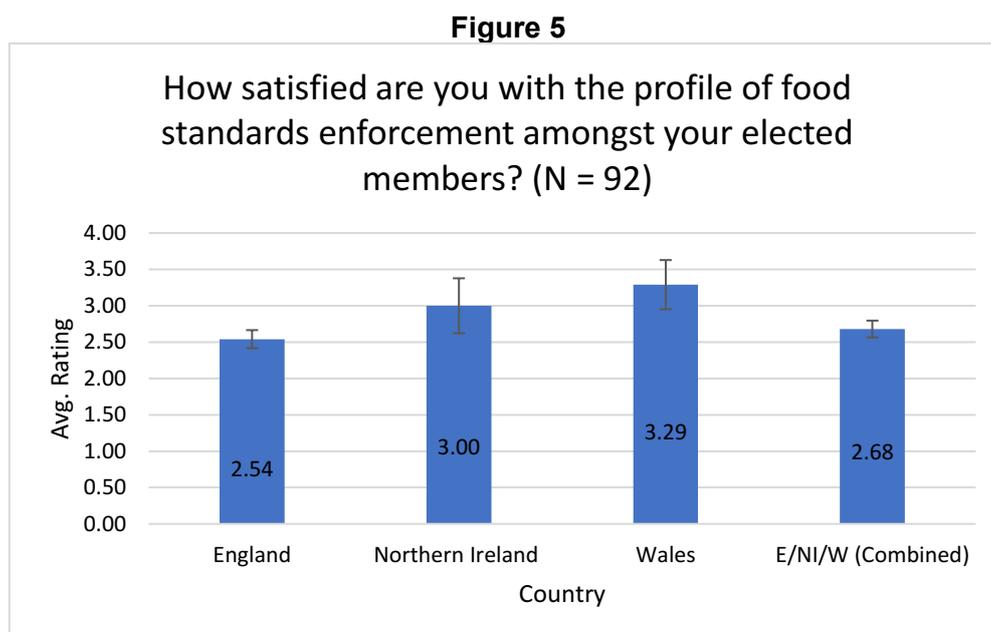
under food legislation, and can use this to help maintain resource at a local level. Failure to implement a minimum resource requirement could lead to services being reduced further, making it extremely difficult to undertake effective and timely food control activities in line with the requirements of the Food Law Code of Practice.

4.3.4. Respondents were asked questions about their arrangements for responding to major incidents, for example the horsemeat incident which occurred in 2013. 8% of the 103 respondents who answered this question stated that their LA did not have measures in place to provide an effective response should such an incident arise in future. 84% of respondents indicated that their LA did have arrangements in place, with over half stating that their response to such an incident would be resourced from within their service, meaning that any response could be impacted by further reductions in resource. Of those authorities with incident arrangements in place, 60% indicated that their approach to responding to a major incident had not been tested.

4.4. Organisation

4.4.1. The CTSI Workforce Survey 2016⁸ highlighted a reduction in the seniority and influence of Heads of Service within LA management structures, combined with a general lack of involvement from Council Chief Executives and Cabinet Members in respect of trading standards functions.

4.4.2. As part of the survey, respondents were asked “How satisfied are you with the profile of food standards enforcement amongst your elected members?”. Responses were given on a scale of 1 (not satisfied at all) to 5 (extremely satisfied).



⁸ <https://www.tradingstandards.uk/media/documents/policy/strategy/ctsi-workforce-survey-2016.pdf>

4.4.3. Figure 5 shows that, whilst the average rating across all three countries were close to 3 (quite satisfied), scores for England were generally lower, with single tier authorities (where resources are lower and there may be less time available to spend on business planning and measuring impact) providing the lowest average scores.

4.4.4. For the 51 respondents who indicated that their LA measures the impact/success of their food standards work (see 4.18), average scores for the above question were 23% higher (avg. score = 2.92, SD = 1.05) compared to the 35 respondents who stated that their LA does not (avg. score = 2.37, SD = 1.03). This suggests that the profile of food standards services could be improved by effective performance measurement, as this enables the benefits of effective delivery to be highlighted to senior Council members.

4.5. Recruitment

4.5.1. Of the 32 respondents who indicated that their LA has tried to recruit officers to deliver food standards controls in the last 3 years, 59% experienced difficulties in recruiting suitable staff. The most common reason given for the recruitment difficulties was a lack of suitably qualified applicants, with 44% respondents citing this as a reason, although in Northern Ireland lack of applicants/lack of experienced applicants were the only reasons given.

4.5.2. Under the FLCOP, the baseline qualifications for officers undertaking official food standards controls are either the Higher Certificate in Food Control, or the Trading Standards Qualification Framework ('TSQF'), incorporating the Food Standards Service Delivery module, or equivalents⁹. Across England and Wales, where the delivery of food standards controls has traditionally been undertaken by food-qualified trading standards officers, 33% of the 90 respondents who answered this question stated that they had supported a student through the food standards module of the TSQF in the last 3 years, amounting to 52 students over the period. There are currently no TSQF food standards module examinations planned until November 2019, reducing the number of food-qualified officers coming through the process in the intervening period.

4.5.3. Where food standards controls remain a trading standards function, 57% of the 77 respondents who answered the question indicated that their LA would not be in a position to support a candidate through the TSQF food standards module. The most common reasons given were insufficient time/capacity and insufficient budget, both selected by 77% of the 44 respondents who stated that their LA could not currently support a trainee through the module. 25% of these 44 respondents stated that their LA does not have an internal assessor/verifier in place to support candidates through the qualification process.

4.5.4. Respondents were given the opportunity to provide a free text response indicating other reasons why their LA could not currently support a trainee

⁹ For Wales, the qualification requirements are broken down further depending on the risk-rating of the food establishment – see https://signin.riams.org/files/display_inline/48645/Wales-Food-Law-Code-of-Practice---August-2018-02082018.pdf

through the TSQF food standards module. Comments were received indicating that the qualification process is extremely resource-intensive for the LA due to the need for internal verification and assessment throughout the module, that trainee officers lack practical food experience and are unable to carry out duties while they study, even under supervision, and that there are no positions available for trainees once qualified.

- 4.5.5. The current situation could have a real impact on future delivery. The lack of food standards exams until November 2019 will result in a lack of new officers coming into the profession from a trading standards background. Potential candidates may be deterred by the lack of a guaranteed role within an LA trading standards/food standards team following qualification, and any candidates who choose to undertake the qualification could find it difficult to find an LA with the resource and capacity to support them through the TSQF.

4.6. Competence & Delivery

- 4.6.1. The survey included questions focusing on competence within the current delivery model, identifying who is undertaking official controls and examining how competence is ensured and maintained. The responses to these questions are analysed below.

4.7. Enforcement Responsibility

- 4.7.1. As alluded to above, the delivery of official controls in England and Wales has traditionally been undertaken by officers with a trading standards background, whilst in Northern Ireland this function is delivered by Environmental Health Practitioners (“EHPs”), often alongside food hygiene controls. Food Standards Scotland is considering proposals to amalgamate food hygiene and food standards controls throughout the food industry. The FSA is aware that in recent times some local authorities in England and Wales have authorised EHPs for food standards work, for a number of reasons, however there is little information available on levels of training and support provided, and how competence is ensured and monitored.
- 4.7.2. The survey sought to establish how prevalent the use of EHPs to deliver food standards official controls is across England and Wales.

Figure 6

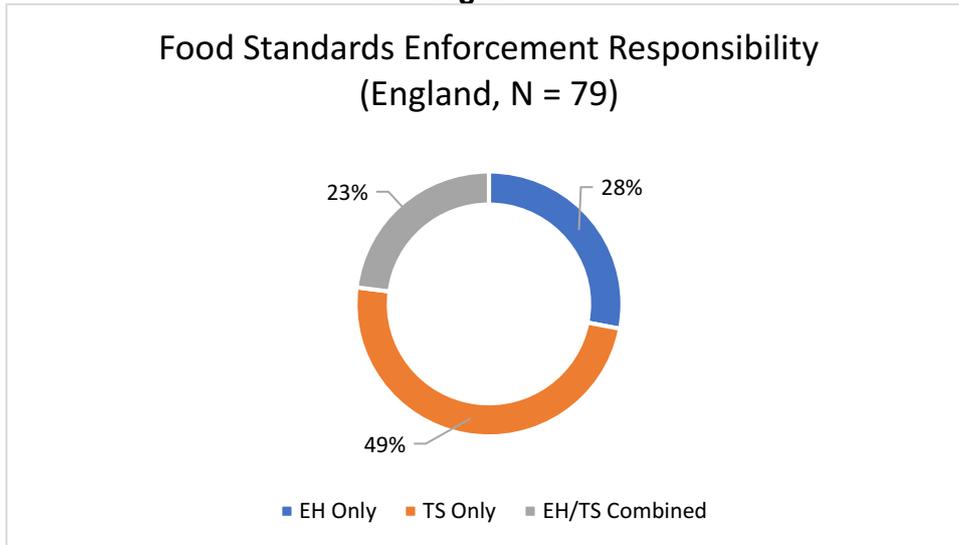
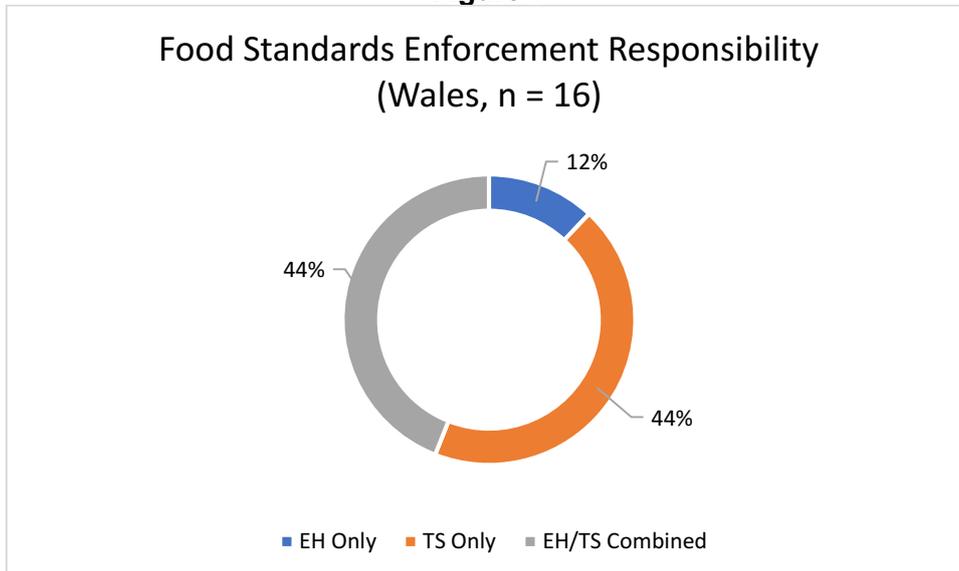


Figure 7



- 4.7.3. Figures 6 and 7 show that over 50% of responding authorities across England and Wales employ the services of environmental health staff in the delivery of food standards controls to some degree (i.e. where food standards controls are delivered exclusively by EHPs, or by EHPs in conjunction with TSPs).
- 4.7.4. Whilst there are a number of potential benefits to this approach, such as an increase in the available regulatory resource (particularly where experienced officers have been lost), and the potential for a single food inspection covering both hygiene and standards considerations, reducing the inspection burden on business, it is essential that those responsible for delivering food standards controls are given the training and support to help ensure their competence.
- 4.7.5. During engagement activities undertaken as part of the wider ROF programme, the FSA has received a number of comments from EHPs undertaking food

standards work which indicate that this is not always the case, and that, as a result, due consideration was not always given to food standards Official Controls, with food standards inspections sometimes completed as an 'afterthought' following a food hygiene inspection being carried out. Whilst anecdotal, the frequency of these of these comments indicates a need to give further consideration to the transfer of enforcement activities and the arrangements around this, to ensure that sufficient importance is given to compliance with food standards requirements.

- 4.7.6. To assist officers new to food standards work in understanding the (often technical and complex) requirements which apply, the FSA in Northern Ireland and Wales have developed their own 'Food Standards Training Manuals¹⁰'. These include summaries of applicable legislation and guidance on their application. Officers who have used these resources have found them to be a very useful tool for bridging knowledge gaps and an excellent reference document to help understand food standards issues.
- 4.7.7. Within Wales, there has been an increasing trend for food standards and food hygiene inspections to be carried out at the same time, by the same officer. To support this, a number of EHPs have undertaken additional training in food standards, for example by taking the food standards endorsement module, run through Birmingham University and accredited by the Environmental Health Registration Board ('EHRB'), or through the attendance of training course such as the food standards refresher course for food hygiene officers, provided by FSA Wales.
- 4.7.8. 11% of respondents stated that officers responsible for delivering food standards controls have not been assessed against the competency framework contained in Chapter 4 of the Food Law Code of Practice, with 6% of respondents indicating that officers failed to maintain the Continuing Professional Development ('CPD') requirements specified in the FLCOP (102 respondents). Of those who reported that officers within their LA failed to maintain the relevant CPD requirements, the most commonly stated barriers were insufficient time/capacity (83%), and a lack of any training budget within their LA (67%).
- 4.7.9. When asked how CPD was maintained, responses indicated that local authorities rely heavily on training, whether internal (79%), external (100%) or online (91%), with attendance at regional food standards groups also cited by 93% of respondents (n = 102). Other routes to attaining CPD, such as work shadowing (48%), compiling reports and case files (4%) and conducting research (4%), were less commonly cited by respondents.

¹⁰ https://signin.riams.org/files/display_inline/46350/fsm2017_0-19022018.pdf

4.8. Planning and Prioritisation

4.8.1. Understanding that many local authorities have implemented the use of intelligence-led¹¹ approaches to help plan and prioritise their work, questions were asked to help establish how intelligence is collated and used, and what the current priorities are for food standards. In this context, “intelligence led” is defined by National Trading Standards (‘NTS’) as “...*a business process for systematically collecting, organizing, analysing, and utilising intelligence and information to guide operational and tactical decisions. Intelligence-led aids in identifying, assessing and managing targets, threats, and problems at the local, regional and national level.*”¹²

4.9. Food Business Registration

4.9.1. Food businesses are required to register with their LA environmental health department, however, in order to effectively plan and prioritise their food standards work, it is essential that this information is communicated to the LA trading standards department where the enforcement responsibilities under the FLCOP relating to food standards are theirs.

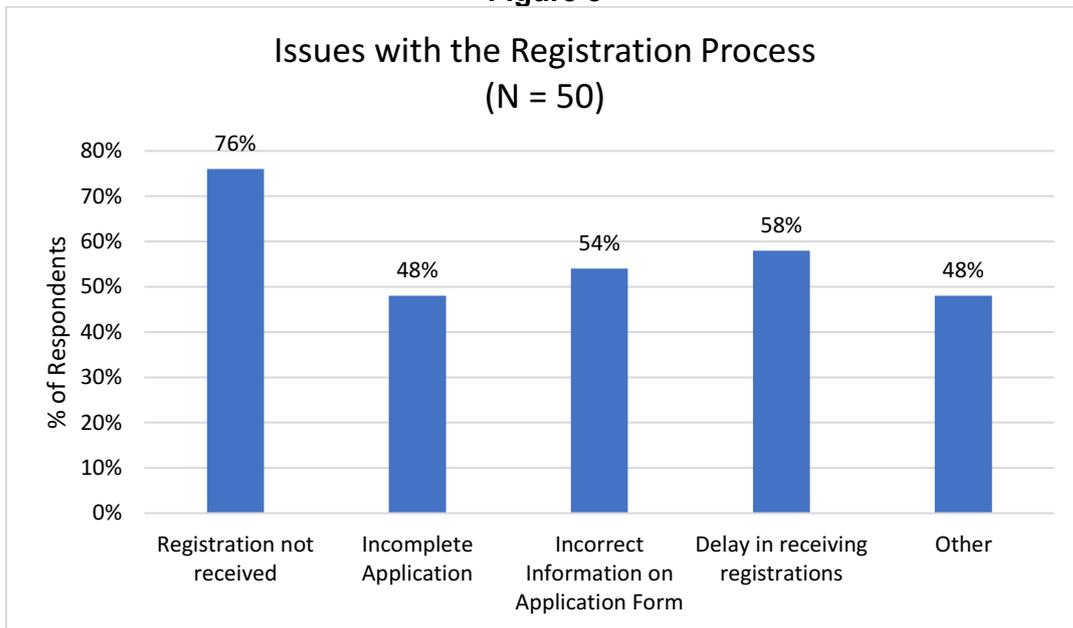
4.9.2. Respondents were asked to indicate the number of new food businesses which had registered within their LA area in the past 12 months, with the average being 240 (N = 89, SD = 145.053). During engagement activities carried out as part of the wider ROF programme, some trading standards officers had raised concerns with the flow of registration information, particularly in County councils, where the environmental health service sits at District council level. The survey sought to identify the extent of this problem.

4.9.3. When asked about whether they had experienced difficulties with the food business registration system, of the 96 respondents who answered this question, 52% stated that they had experienced issues. Respondents who had experienced problems were then asked to identify the specific problems they had experienced with the registration process, with responses shown in Figure 8 overleaf.

¹¹ Intelligence - information that has been subject to a defined evaluation process in order to assist with decision, currently the 5x5x5 format. Intelligence is not what is collected; it is what is produced after collected information is evaluated and analysed. The 5x5x5 form is a universally recognised format that is used by the majority of law enforcement entities in the UK. (National Trading Standards definition)

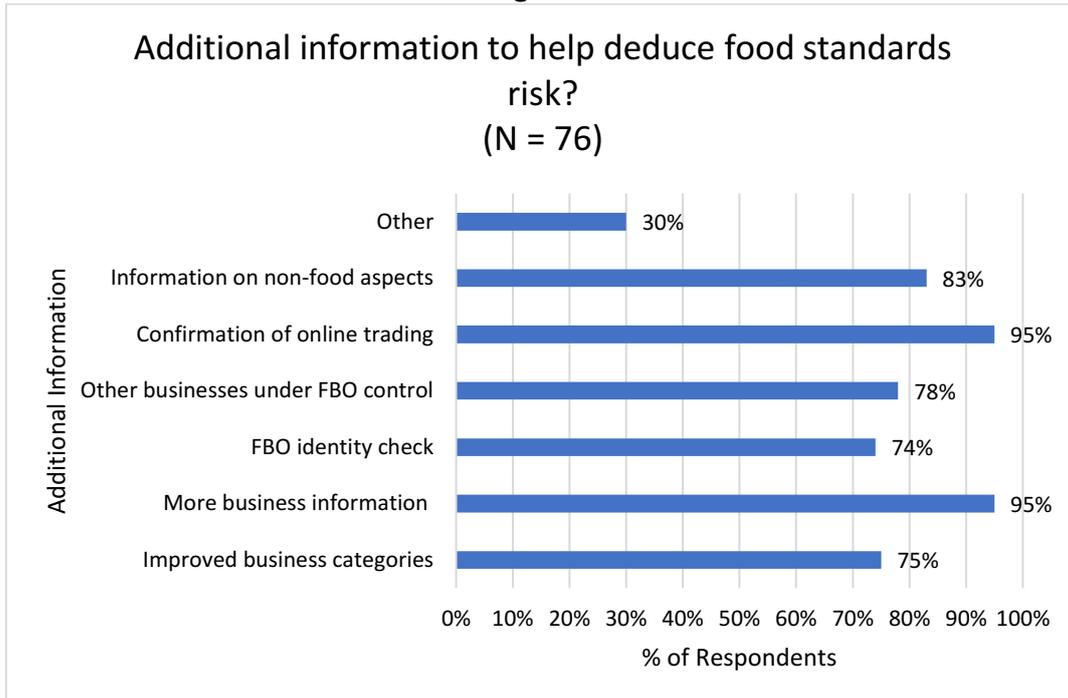
¹² <https://www.uk-osint.net/documents/Agenda%209%20IOM%20v2%20Appendix%20A.pdf>

Figure 8



- 4.9.4. For the 'Other' option, respondents had the opportunity to indicate different issues using free text. The most commonly cited issues under this heading were that the registration form includes insufficient detail to provide an accurate representation of the risk by the business (16%), and a failure of businesses to notify the LA of any changes (10%).
- 4.9.5. Respondents were asked about what additional information, provided at the point of registration, would help to give a better picture of the actual food standards risk posed by a business, as shown in Figure 9, overleaf.

Figure 9



4.9.6. These responses indicate a desire for additional information about food business when they register, to help local authorities prioritise their controls and to identify businesses that may require early intervention.

4.10. Risk Assessment

4.10.1. There are currently three risk assessment schemes which are used to help attribute risk scores to food businesses for the purposes of food standards controls – these are the Food Law Code of Practice intervention rating scheme, the LACORS risk assessment scheme, and the National Trading Standards Risk Assessment Scheme. Whilst the three schemes are broadly similar, attributing scores based on the potential risk posed by a business, the extent to which their activities affect the hazard, the number of consumers who could be affected by non-compliance and the level of confidence the inspector has in the manager/food control system, there are differences in how risk scores are calculated and in the resulting intervention/inspection frequency applied. The schemes also differ in terms of the extent to which they allow for adjustment of the risk score based on local knowledge and the experience of the officer following an inspection.

4.10.2. Out of the 104 respondents who answered this question, the FLCOP scheme is the most widely used, with 64% using the FLCOP intervention scheme to risk assess businesses under their control, as opposed to 14% for the NTS scheme, 7% for the LACORS scheme, and 14% who employ a combination of the above to achieve a risk rating for food businesses in their area.

4.10.3. A recent IPSOS MORI report on risk rating intervention systems for food businesses in the UK¹³, which drew findings following research conducted with FSA representatives, food and non-food regulators from the UK and abroad, and representatives of industry, identified a number of perceived issues with the current FLCOP risk assessment scheme, including:

- LAs view the food standards intervention scheme as not being fit for purpose, and argue that compliance with FLCOP requirements diverts resources away from intelligence led work
- The risk assessment methodology often creates a homogenous group of establishments which does not reflect reality.
- Officers described having to adopt prioritisation strategies for their resources, meaning that for lower risk establishments prescribed intervention frequencies often do not happen in accordance with FLCOP requirements.
- Discussions with LAs and food industry representatives highlighted that some business assigned an A or B risk rating which are potentially high risk due the nature of their operations are possibly seen too frequently, despite having strong risk controls in place.

4.10.4. Where food standards controls are delivered by trading standards officers, there may be benefit to using the NTS or LACORS risk assessment scheme, as these are not restricted to food-related risks, and include consideration of non-food matters such as weights and measures and fair trading when attributing a risk score to a business. That said, the NTS and LACORS schemes are no longer being maintained: LACORS no longer exists as a body, with the LACORS scheme last updated in 2004, whilst the NTS scheme is no longer supported by ACTSO¹⁴, and was last updated in 2013. As such, these schemes may become less accurate and less relevant over time, as the nature of food businesses, the risks they pose and how they operate changes.

4.10.5. Respondents were asked to rate how effective they felt the risk assessment scheme they use is in terms of helping to assign resources based on the actual risk posed by a business, using a scale of 1 (not effective at all) to 5 (extremely effective). The average rating given to each scheme by respondents was broadly similar, however those using the LACORS scheme rated it least effective (mean = 2.6, SD = 0.9759, N = 7), whilst the FLCOP and NTS schemes achieved the highest average rating of 2.9 (FLCOP: SD = 0.8573, N = 67, NTS: SD = 0.8338, N = 15).

4.11. Food Law Code of Practice Compliance

4.11.1. Respondents were asked to state the proportion of due inspections carried out by their LA at high, medium and low risk food businesses for the financial year 2016/7. The results below were drawn from a total of 65 respondents - some responses to this question had to be discounted as they referred to the actual

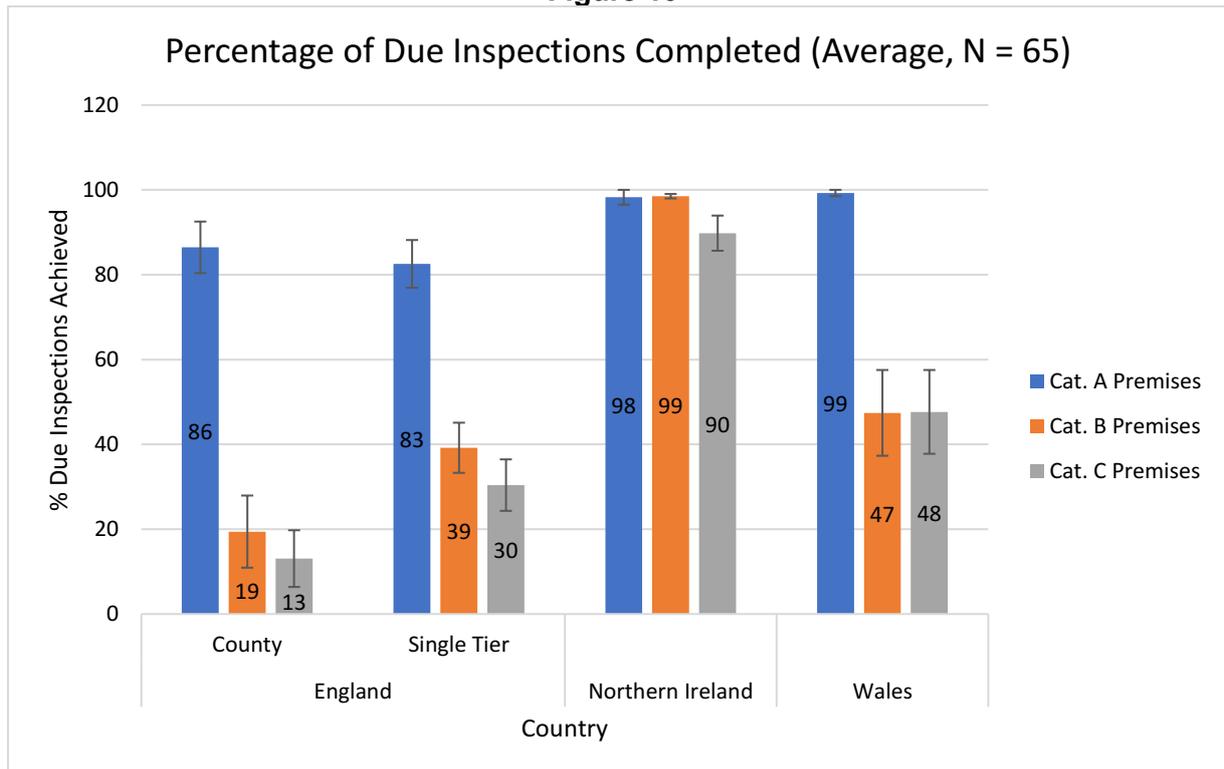
¹³ <https://www.food.gov.uk/research/research-projects/modernisation-of-the-risk-rating-system-for-food-establishments-in-the-uk>

¹⁴ Association of Chief Trading Standards Officers

number of inspections rather than expressing this figure as a proportion of due inspections for that year.

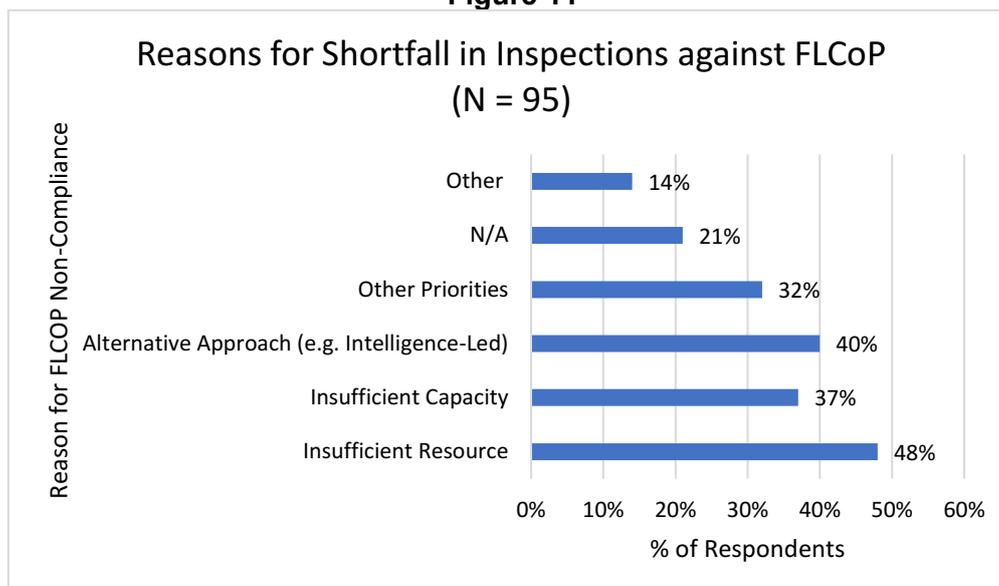
4.11.2. The responses indicated that across England, Wales and Northern Ireland, 87% of due inspections at high risk (Category A) businesses were undertaken overall (SD = 28.063), compared to 40% for medium risk (Category B) businesses (SD = 37.300) and 33% of low risk (Category C) businesses (SD = 36.675). This figures are broken down by Country (and, for England, LA type) in Figure 10, below.

Figure 10



4.11.3. These responses highlight both the difficulties local authorities have in fully complying with the requirements of the FLCOP, and the significant variation in performance between England, Wales and Northern Ireland. It is clear that LAs in England and Wales are prioritising their high risk establishments, with shortfalls in relation to completing planned inspections for medium and low risk (Category B & C) rated establishments, when compared to Northern Ireland. The reasons given by respondents for these shortfalls are shown in Figure 11 overleaf.

Figure 11



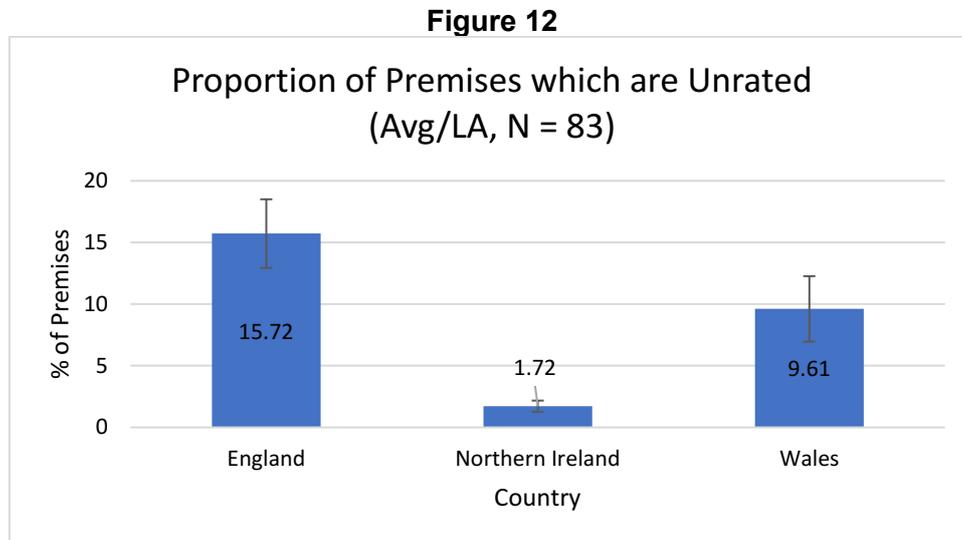
4.11.4. Whilst the most common reason given for the shortfall overall was insufficient resource (48%), for English County authorities the most commonly cited reason was due to alternative approaches to enforcement, for example adopting an intelligence-based approach (79% of 19 respondents). This highlights comments received in the free text response that some LAs do not believe the FLCOP intervention rating scheme (or other risk assessment schemes) ensures the effective targeting of resources at the highest risk establishments, and have therefore adopted different approaches to dealing with food standards risk.

4.11.5. Other reasons given by respondents included aspects related to the delivery of food standards official controls by EHPs (for example technical issues when transferring responsibility, or moving food standards information to a new database), food standards inspections being driven by hygiene risk when combined (meaning that some lower risk establishments for food standards may be targeted before businesses with a higher food standards risk), and a failure of the FLCOP intervention rating scheme to fully take account of all regulatory activities. An example may be where food standards-related Primary Authority¹⁵ activities are recorded within an LAs management information system as 'Primary Authority' work rather than as official food standards controls, and are subsequently not reported through the Local Authority Enforcement Monitoring System ('LAEMS').

4.11.6. The FLCOP requires that an initial food standards inspection is carried out within 28 days of the business registering/commencing to trade. Respondents were asked to identify both the number of registered food establishments within their LA, and the number of unrated food establishments, where known. As a food business is given a food standards risk rating following its first inspection, it is to be expected that any unrated

¹⁵ <https://primary-authority.beis.gov.uk/about> - Scheme whereby businesses can form a partnership with a local authority to provide a single point of contact for advice, which other local regulators must respect.

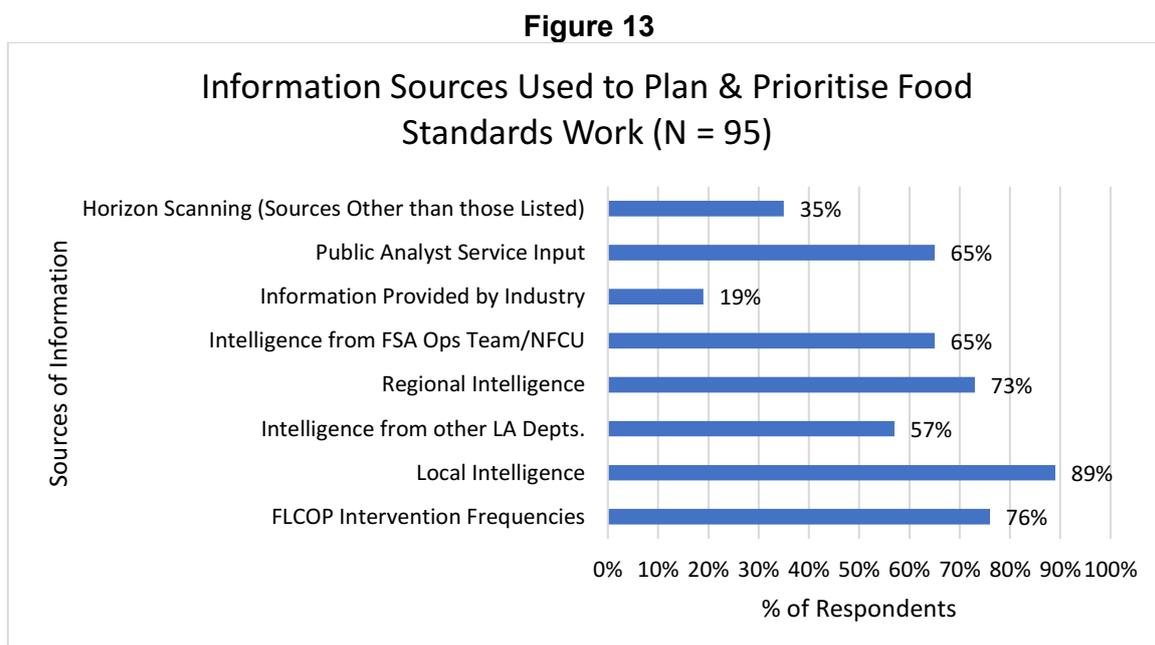
businesses have yet to receive their initial food standards inspection. Figure 12 shows the number of unrated establishments expressed as a percentage of the total number of registered establishments by country, where both figures were provided.



4.11.7. Figure 12 demonstrates that the number of unrated establishments is higher in England than in Northern Ireland or Wales. Within England, there is variation between individual authorities, with 16% of respondents indicating that less than 1% of their food establishments were unrated, whilst 10% indicated that over 50% of their registered food businesses had not been risk rated (N = 63, SD = 22.123).

4.12. Sources of Information

4.12.1. Respondents were asked about the information sources they use to help plan and prioritise their food standards work.



- 4.12.2. Whilst 95% of respondents stated that intelligence was used to plan and prioritise their work in some form (whether local, regional or national), this approach is not fully integrated into the FLCOP risk assessment scheme.
- 4.12.3. 57% of respondents indicated that they use intelligence from other LA departments, for example Licensing and Growth teams, indicating the importance of effective communication within LA structures to help identify non-compliant businesses and those in need of assistance.
- 4.12.4. 65% of respondents stated that they use information from the Public Analyst service to help plan and prioritise their work, however this service is also currently experiencing a reduction in resource. There are currently 8 LA and 2 private Public Analyst laboratory services in operation across the UK, compared to 15 LA and 2 private laboratory services in 2010.
- 4.12.5. The National Food Crime Unit ('NFCU'), established in 2015 as a result of recommendations made in the Elliott Review¹⁶, is a criminal intelligence function within the FSA which provides national leadership and coordination on food crime, working with local authorities and other law enforcement agencies. 68% of 96 respondents stated that they have shared intelligence with the National Food Crime Unit ('NFCU'), however of these only 49% received feedback following the submission of intelligence from the NFCU or other enforcement partners. 19% of 95 respondents indicated that they had received intelligence packages from NFCU, of which 22% resulted in successful enforcement action being carried out.
- 4.12.6. Having discussed the flow of intelligence from the NFCU with a number of regulatory officers during engagement activities, the primary reasons given for the relatively low proportion of intelligence packages resulting in successful enforcement action were a lack of resource or capacity to deal with the issue, local priorities (i.e. if the intelligence points to a national issue, the LA may not deem it to be in local consumers' interests to devote the amount of time and effort needed to pursue a complex case), and insufficient intelligence to trigger action, in consideration of the LA's own enforcement policy threshold.
- 4.12.7. The NFCU has recently received approval to move to Phase 2 of its development, at which time its capabilities will increase, and the unit will be empowered to pursue cases relating to food crime rather than relying on LA enforcement, as is currently the case.

4.13. Food Sampling

- 4.13.1. Food sampling is an essential pillar of food standards surveillance activities, helping to identify issues which may not otherwise be discovered on inspection, for example determining speciation in meat products and identifying allergens present in food products. Food sampling activity is also an important source of intelligence, indicating trends and product-related issues which may be found

¹⁶ <https://www.gov.uk/government/publications/elliott-review-into-the-integrity-and-assurance-of-food-supply-networks-final-report>

on a wider scale. Figure 14 (below) shows the total number of food samples submitted to the Public Analyst over the period 2014/5 to 2016/7, as provided by the 93 respondents who answered this question.

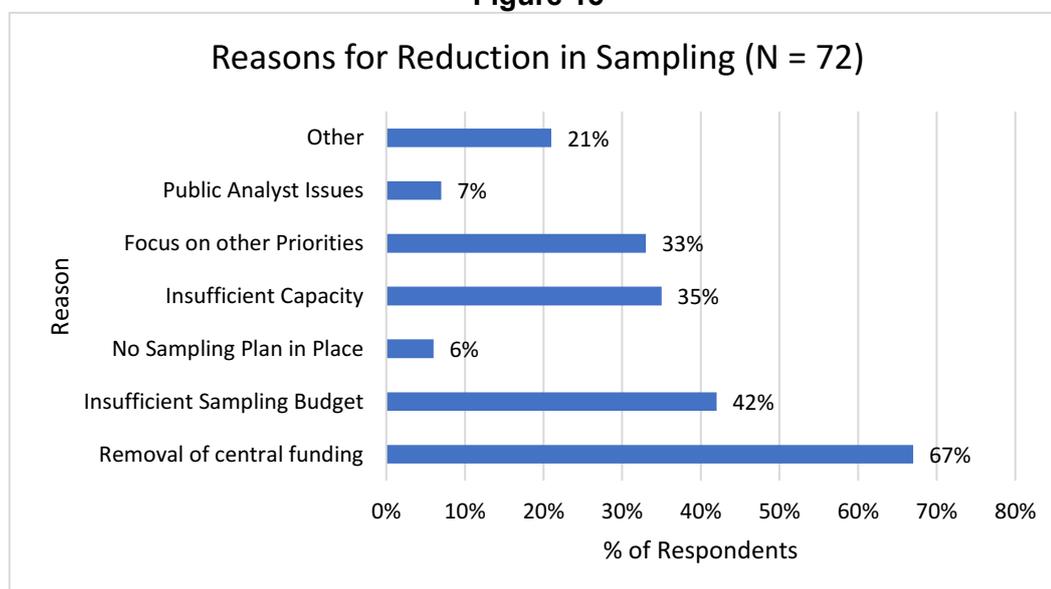
Figure 14

Country	Sample Numbers by Financial Year			% Change (2014/5 compared to 2016/7)
	2014/5	2015/6	2016/7	
England	8195	7263	7017	-14%
Northern Ireland	1265	1549	1385	9%
Wales	1011	944	889	-12%
E/NI/W (Combined)	10471	9756	9291	-11%

4.13.2. Whilst these figures demonstrate that there has been a slight reduction in sample numbers in England and Wales up to the end of March 2017, LAEMS figures for 2017/8 show further reductions in the number of food standards samples following the removal of central funding, with a 22% reduction in samples submitted for compositional analysis and a 15% reduction in samples submitted for labelling and presentation analysis across E/W/NI compared to LAEMS figures for 2016/7.

4.13.3. Where sample numbers had reduced, respondents were asked to identify the reasons for this, as shown in Figure 15, below.

Figure 15



4.13.4. The main reason given for the reduction in sampling activity was the removal of FSA central funding, with two-thirds of respondents identifying this as a reason. In free text responses provided to this question, a number of respondents stated that their sampling budget would be significantly reduced for the financial year 2017/8, due to the removal of central FSA funding for food standards sampling. One respondent stated that their LA only participated in funded sampling

programmes, and did not undertake locally funded sampling activity. Insufficient capacity within LAs and budget were other common reasons given, with one respondent stating that adverse sample results could be time consuming to follow up. 33% of respondents indicated that the reduction was due to a reallocation of resources based on different approaches to seeking compliance, for example identifying that sampling is intelligence led, meaning that a lack of intelligence received would subsequently lead to a reduction in sampling levels.

- 4.13.5. 6% of respondents stated that their LA had no sampling programme in place, contrary to the requirements of the FLCOP, which states that “Competent Authorities must also prepare a Sampling Programme, which details their intended food sampling priorities.”
- 4.13.6. Respondents were asked how important they felt that access to an adequately funded Public Analyst service is to help ensure the effectiveness of food standards controls. Respondents were asked to give a score between 1 (not important at all) to 5 (extremely important). The average score from 96 respondents was 4.9 (SD = 0.456), which highlights just how essential officers feel that the Public Analyst service is to food standards regulatory activity, not only in terms of sample examination and analysis, but also in providing technical and scientific support, in contributing to the planning of regional food standards activities, and in helping to identify emerging risks which may need to be addressed.

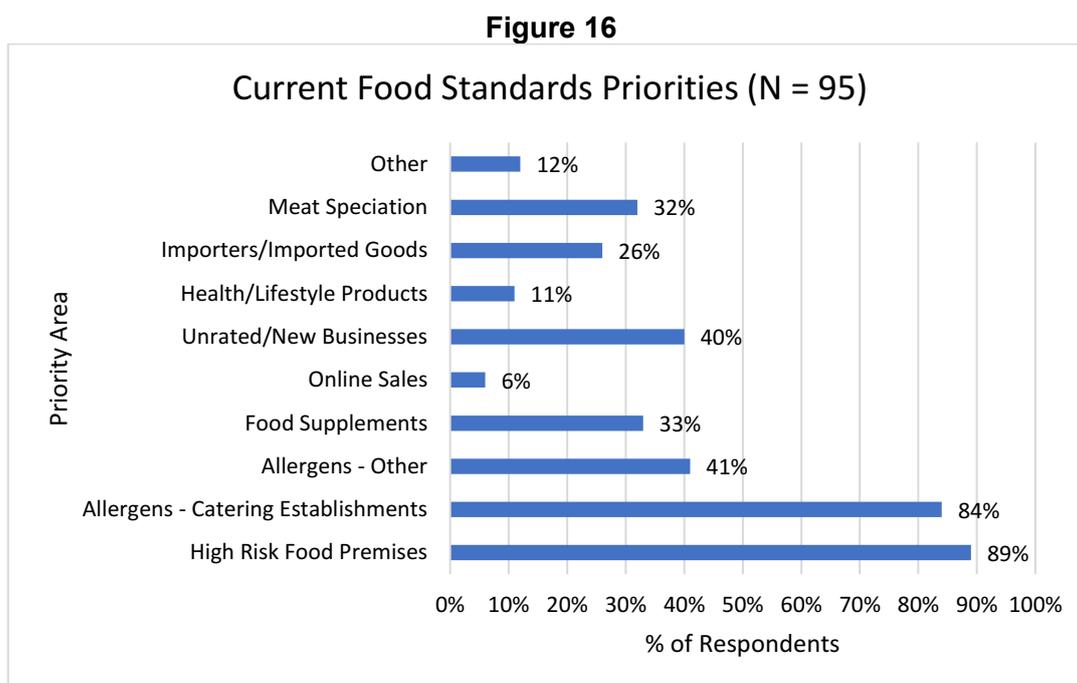
4.14. Regional Groups

- 4.14.1. 94% of 102 respondents stated that an officer from their LA attends a regional food standards liaison group. 50% of the remaining 6 were respondents from Northern Irish authorities, where there is an agreement that not all LAs will provide representation at all food law enforcement liaison groups to ensure effective use of resource, however priorities and action required are cascaded. Most regional food standards groups have Regional Intelligence Officer ('RIO') presence, making them a valuable conduit to sharing of local & national intelligence
- 4.14.2. Responses highlighted the importance of regional food standards groups as a means to share knowledge & experience and provide consistency in approach & enforcement, particularly as authorities continue to experience reductions in resource, with an increase in environmental health staff who are new to the area of food standards work.
- 4.14.3. Respondents were asked how their regional food standards groups meet. 9% of the 96 respondents who answered this question indicated that their regional group does not meet face to face, with one respondent stating that this approach is “not working effectively and (there is a) tendency for these to lapse. We have insufficient officer resource to warrant extensive travel times for some

regional meetings”. Knowledge Hub¹⁷ and email are used to help facilitate the exchange of information in the absence of, or in addition to, meetings.

4.15. Current Priorities

4.15.1. Respondents were asked to identify the top three current priorities for food standards within their LA. There were 95 responses to this question, however some respondents chose more than three priorities, which have been included in Figure 16 below.



4.15.2 High risk establishments, allergens in catering establishments and allergens (other) were the most common priorities given. Catering establishments, which are food businesses that would ordinarily have a higher inherent risk under food hygiene than under food standards (and would therefore be subject to more frequent inspections).

4.15.3 Non-compliance with allergen requirements can have very serious consequences, and under food standards risk assessment schemes establishments such as takeaways may only be due for inspection as infrequently as once every five years, hence the prioritisation of this important area of food regulation. It is unclear from the survey results whether ‘high risk businesses’ incorporates only businesses deemed to be high risk under the risk assessment scheme used, or includes other businesses deemed to be high risk by the LA due to other factors.

4.15.4 Unrated establishments were identified as a priority area by 40% of respondents. Having not yet received an inspection, these businesses may be unaware of their obligations under food standards legislation, and may

¹⁷ <https://khub.net/> - online communication tool and information repository which allows regulatory officers to share knowledge and discuss issues in a private setting

require extensive support and assistance to achieve compliance, however some respondents did state that they considered new food business establishment registrations as they were received, and inspected these on a priority basis depending on the type of business, the activities being carried out and the likely risk posed.

4.15.5 Many of the priority areas identified would require some form of sampling and analysis to determine compliance, such as the identification of allergenic ingredients in take away meals, composition and speciation in meat products, and the use of undeclared prohibited ingredients in food supplements. This further emphasises the need to maintain an effective sampling capability within the regulatory system and for access to an effective Public Analyst service.

4.16 Alternative Approaches

4.16.1 Due to the reductions in resource, many local authorities have had to consider adopting alternative approaches to delivering food standards official controls, including the implementation of intelligence-led working based on the Intelligence Operating Model¹⁸, developed by National Trading Standards. Respondents were asked about any approaches which had been adopted within their LA, with the results shown in Figure 17, below.

Figure 17



4.16.2 Responses highlighted the prevalence of intelligence-based approaches to food standards work, for example monitoring and prioritising the investigation of complaints received and participating in regional projects, which are not currently fully recognised within the Food Law Code of Practice. 38% of respondents alluded to having an improved business advice service, with 28% indicating that they have forged links with LA economic growth teams or

¹⁸ <https://www.uk-osint.net/documents/Agenda%209%20IOM%20v2%20Appendix%20A.pdf>

business groups, which implies that local authorities recognise the value in helping businesses comply and get things ‘right first time’, reducing the likelihood of formal enforcement action in future, in line with Better Business for All (‘BBfA’)¹⁹ principles.

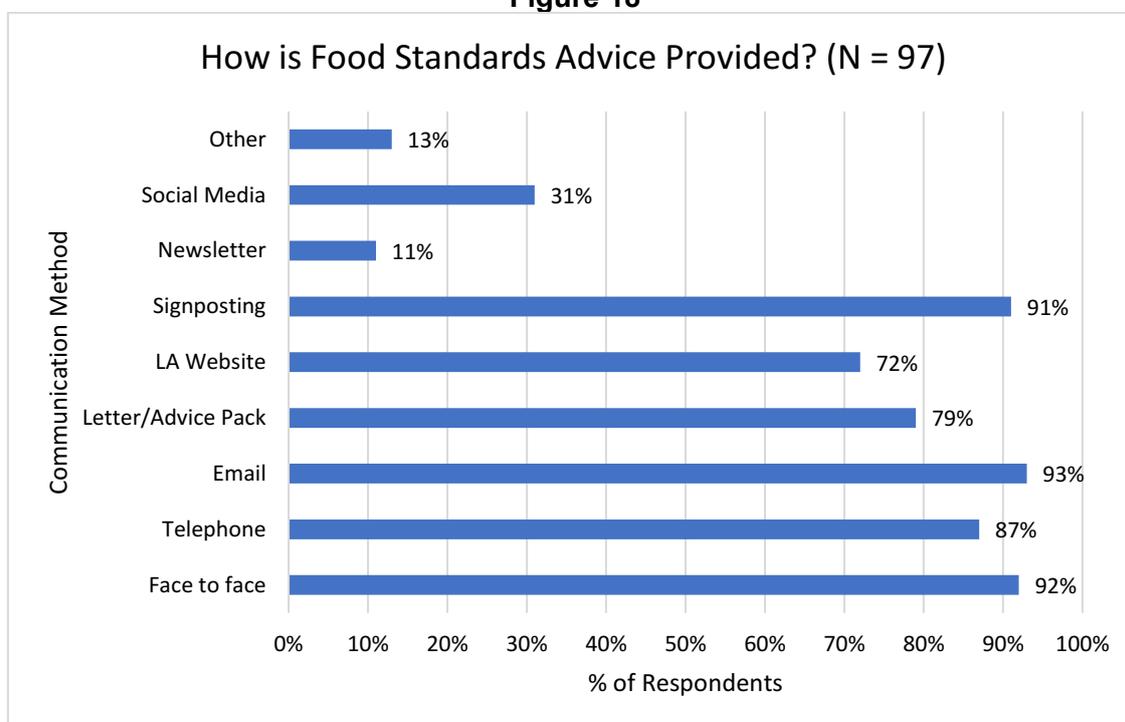
4.16.3 44% of respondents indicated that they have an agreement in place, whether formal or informal, for other officers within their LA to act as ‘eyes and ears’, reporting any issues back which require action. This approach can be particularly useful where LA resources mean that fewer physical food standards inspections are carried out, although its success will depend on the knowledge and experience the inspector has in respect of food standards issues. In the free text responses provided, 6 respondents (6%) indicated that food standards inspections were integrated with food hygiene inspections, where appropriate, within their authority.

4.16.4 10% of respondents stated that their LA has an arrangement whereby they share or combine certain regulatory services with another LA. Again, these arrangements can have benefits in terms of resource and economies of scale, as alluded to in the Local Government Association’s Trading Standards Review²⁰ 2016.

4.17 Business Advice & Guidance

4.17.1 The survey sought to establish the ways in which local authorities provide advice and guidance to food businesses.

Figure 18



¹⁹ <https://www.gov.uk/government/publications/business-regulation-better-business-for-all>

²⁰ <https://www.local.gov.uk/lga-trading-standards-review-summary-report>

4.17.2 Figure 18 shows that local authorities utilise a range of communication methods to reach out to food businesses, including social media. One respondent stated that their authority no longer offers any business advice, even chargeable, outside its Primary Authority partnerships. Free text responses included business coaching or training sessions, questionnaires for new businesses to identify their needs, and mutual signposting/referral agreements with LA economic development teams and Growth Hubs.

4.17.3 46% of the 89 respondents from England and Wales indicated that they have at least one Primary Authority partnership covering food standards requirements in place, totalling 322 individual partnerships (scheme does not apply in Northern Ireland). In England, 58% of County authorities have at least 1 partnership in place, while only 26% of single tier authorities have a partnership. This variation may be due to single tier authorities having fewer officers, and therefore less capacity to service partnerships, which can be resource intensive.

4.17.4 Whilst the Regulator's Code²¹ requires that regulators ensure "...clear information, guidance and advice is available to help (businesses) comply", this is often limited to signposting to guidance available from other sources, such as the Business Companion or Food Standards Agency websites. Due to the significant resource demands which can arise when providing businesses with specific, tailored advice, many local authorities now charge for this service.

4.17.5 Outside the Primary Authority scheme, which allows local authorities to recover their costs arising from partnership activities, 42% of respondents stated that their LA has some form of cost recovery for the provision of business advice, with a further 10% signalling their intention to begin charging for advice in the near future (N = 96). No Northern Irish authorities currently charge for this service. As with Primary Authority partnerships, the survey results indicated that County authorities are more likely to charge for business advice, with 74% of County Councils in England charging, compared to 36% of single tier authorities.

4.17.6 In terms of charging structure, responses indicate that this can vary significantly between local authorities. Where a charge for advice is made, many authorities will offer a specified period for free (between 30 minutes and 3 hours), then will charge an hourly rate for any advice over and above that. Hourly rates varied from £45 per hour to £80 per hour, although some authorities charge per half hour. Where respondents provided details of their charging structure, the mean hourly rate was £65.67 (N = 28, SD = £9.92). This figure can be broken down by country as follows:

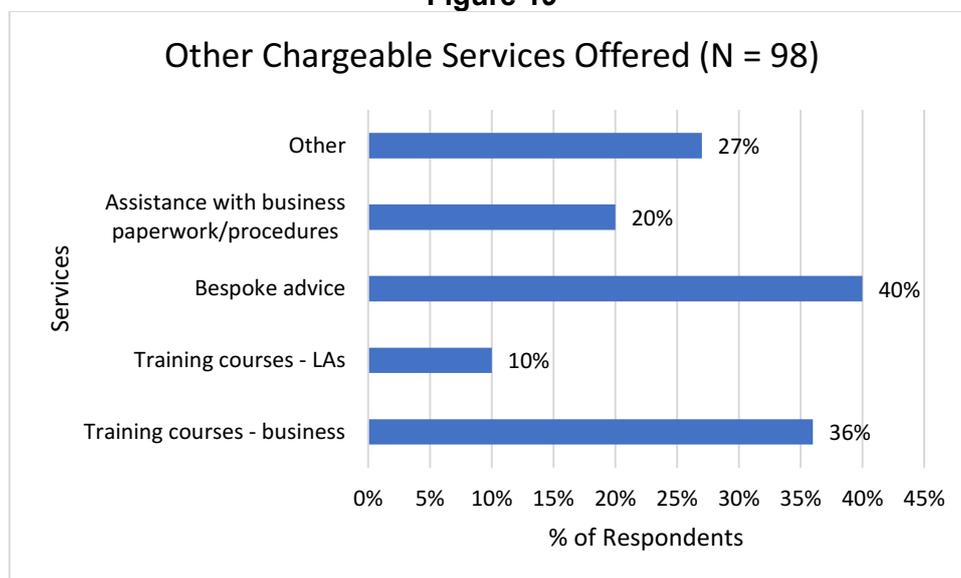
- England: Average hourly rate = £67.51 (N = 23, SD = £9.90)
- Wales: Average hourly rate = £57.20 (N = 5, SD = £4.09)

²¹https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/300126/14-705-regulators-code.pdf

4.17.7 The variation in business advice arrangements, particularly considering that many local authorities do not charge at all, while others do not offer any advice service other than signposting to sources of information and guidance, could potentially be detrimental to food businesses, as those located in authorities where charges are levied could be at a disadvantage compared to business who receive the same advice for free.

4.17.8 Respondents indicated that local authorities currently offer a range of other chargeable services to businesses and, in some cases to other local authorities, as demonstrated in Figure 19 below. The majority of free text responses were not related to food standards, including services such as Food Hygiene Rating Scheme revisits, the calibration of weights and weighing and measuring equipment, and the provision of export certificates.

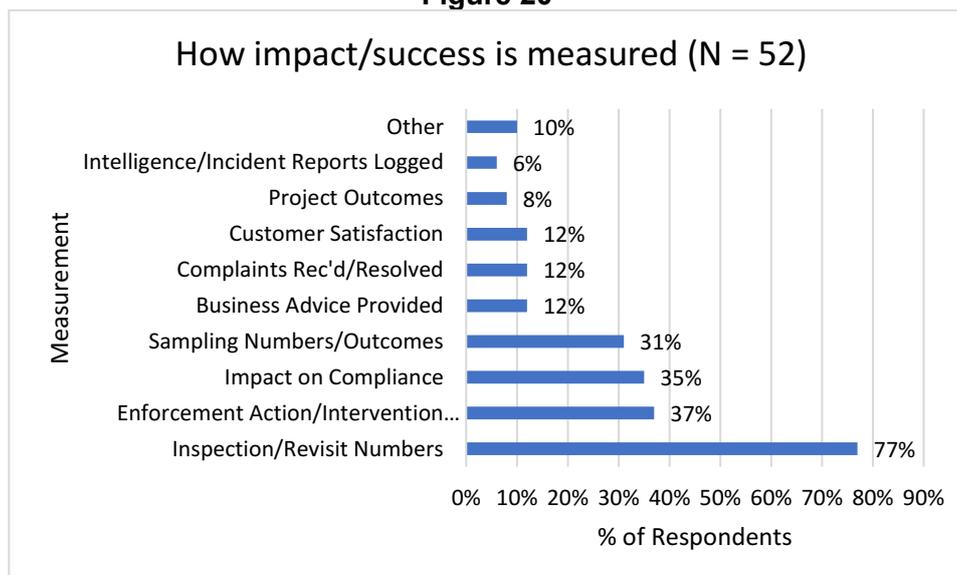
Figure 19



4.18 Measuring Impact/Success

4.18.1 The survey sought to establish the ways in which local authorities measure the impact of their food standards work. 54% of the 95 respondents who answered this question indicated that they measure the impact/success of their food standards work. Examining the responses also highlights variation between the three countries, with 75% of Welsh respondents measuring impact compared with 69% in Northern Ireland and 49% in England. To help understand the ways in which impact/success is measured, Figure 20 (overleaf) outlines the variety of methods used.

Figure 20



4.18.2 Whilst the majority of respondents report on the numbers of inspections and revisits achieved, this measurement can be of limited value as it does not reflect the impact these interactions with business have had, for example on their levels of compliance. Likewise, the next most common measure is in relation to the number of interventions/enforcement actions achieved, however this can again be a limited performance measure, as more compliant businesses should reduce the number of enforcement actions required. This may make it appear that the LA has been less productive, when in fact the increase in compliant businesses means that their interventions have had more of an impact, for example due to an increased focus on business advice.

4.18.3 Measuring impact can be challenging, and there is no clear recommendation as to how best to do this in relation to food standards work. This aspect is considered in relation to trading standards services in more detail in 'The Impact of LA Trading Standards in Challenging Times'²², a report commissioned by BIS²³ and CTSI, published in March 2015. The report states that "...there was also recognition and acknowledgement of the considerable difficulties in measuring and quantifying the outcomes and impact of trading standards interventions, most particularly those of a proactive and preventative nature that were intended to avoid harm or detriment for people.". From looking at the data there appears to be a lack of recognition of positive impact on business or consumers through food standards work, which could be addressed as Primary Authority and Better Business for All schemes become more widespread, allowing for a more collaborative approach to determining the business benefit achieved by regulatory services.

4.18.4 Those who indicated that they do measure the impact/success of their work were generally more satisfied with the value placed on food standards issues by their council's Executive Members than those who do not, with responses

²² <https://www.tradingstandards.uk/media/documents/news--policy/research/inlogov-15-139-the-impact-of-local-authority-trading-standards-in-challenging-times-r2.pdf>

²³ The Department for Business, Innovation and Skills

23% higher, on average (see 4.4.2). This indicates that the profile of food standards services could be improved by effective performance measurement, as this enables the benefits of effective delivery to be highlighted to senior council members.

5 Conclusion

- 5.1. Analysis of the survey responses has provided a useful baseline assessment of the current delivery model, providing an evidence base in relation to the ways in which LAs seek to fulfil their food standards obligations under FLCOP.
- 5.2. Responses to the survey questions have highlighted a number of issues of concern, which will inform how the FSA seek to improve food standards arrangements within the future delivery model.
- 5.3. There are clear issues around the levels of resource available, however it is unlikely that the levels of resource will increase in the near future. Consideration must be given to maximising the effective use of the resources available and addressing the issues around the flow of appropriately qualified and competent persons into the food standards delivery model.
- 5.4. Recognising the increase in EHPs enforcing food standards, there is a clear need to redefine competency requirements within the workforce, reflected in the FLCOP, and a need to give proper recognition to food standards matters in the curriculum of baseline food qualifications.
- 5.5. Responses have shown the extent to which local authorities have moved from a premises-based approach, focusing on inspection activities in line with FLCOP requirements, and have adopted alternative approaches to achieving compliance and dealing with risk. The FSA needs to ensure that, moving forward, we retain oversight of the delivery model through enhanced performance monitoring and audit, including oversight of LA arrangements in relation to food standards official controls, to enable us to consider any variations in delivery and react to issues in an efficient manner where necessary.
- 5.6. There should be explicit recognition of the increased importance of intelligence in the regulatory system, particularly in anticipation of the progression of the NFCU to Phase 2 of its development. Of utmost importance to the effectiveness of intelligence is the flow of information, both from and to LAs, and it is essential that steps are taken to ensure that information can be shared easily, in good time, and in a secure manner.
- 5.7. Consideration needs to be given to how performance and impact can be effectively measured in relation to the delivery of food standards official controls in a consistent and meaningful fashion, to give credence to the work undertaken by LA EH and TS services, and to ensure that consumers are protected and businesses are supported in ensuring the production of food that is safe and what it says it is.

6. Glossary

ACTSO	Association of Chief Trading Standards Officers
BBfA	Better Business for All
CPD	Continuing Professional Development
CTSI	Chartered Trading Standards Institute
EHP	Environmental Health Practitioner
EHRB	Environmental Health Registration Board
E/W/NI	England/Wales/Northern Ireland
FLCOP	Food Law Code of Practice
FTE	Full Time Equivalent
LA	Local Authority
LACORS	Local Authorities Coordinators of Regulatory Services
LAEMS	Local Authority Enforcement Monitoring System
N	Number (of respondents)
NAO	National Audit Office
NFCU	National Food Crime Unit
NTS	National Trading Standards
RIO	Regional Intelligence Officer
ROF	Regulating Our Future
SD	Standard Deviation
TSP	Trading Standards Practitioner
TSQF	Trading Standards Qualification Framework

Annex I: FSA Smarter Communications letter

Annex II: Survey questions

**To: Heads of Environmental Health Service
Directors of Trading Standards Services
Lead Officers with responsibility for Food Standards matters**

Title: Regulating Our Future ('ROF') – Food Standards Delivery Review Survey		Date: 7 th March 2018
Summary: Lead Officers with responsibility for food standards are invited to complete a survey examining current approaches to food standards enforcement across England, Wales and Northern Ireland. The survey will be sent to LAs in the week commencing 12th March 2018 , with the closing date for responses being Friday 6th April 2018 .		Notification <ul style="list-style-type: none"> • Hygiene • Standards
Key words: food standards, regulating our future, ROF, survey, official controls		URN: URN PLGEN18006
Classification <ul style="list-style-type: none"> • Official 	Notification type: <ul style="list-style-type: none"> • Digest (daily) 	Letter Category: <ul style="list-style-type: none"> • Policy, Legislation & Guidance

Dear Colleague,

As part of the Regulating Our Future ('ROF') programme, the Food Standards Agency is keen to understand the ways in which local authorities currently fulfil their obligations in respect of food standards: examining how Official Controls are resourced, how work is prioritised and planned, and how success is measured.

In order to achieve this a survey has been developed, aimed at Lead Officers with responsibility for food standards enforcement within your authority, seeking information to help provide an accurate picture of current delivery throughout England, Wales and Northern Ireland.

The FSA will be contacting Lead Officers directly to seek their views on current enforcement issues, to ascertain whether there are any barriers to effective delivery within the current system, and to identify any examples of best practice or innovative delivery which could potentially be explored on a wider scale.

The survey will include questions on a range of topics related to the delivery of food standards, and we would like to assure respondents that any information provided in relation to this survey will be confidential and anonymous. Responses will only be used by the Regulating Our Future team to help inform the design of any future delivery model, and will not be used as part of an ongoing programme to monitor Local Authority performance.

An email will be sent to your lead food standards officer in the week commencing 12th March 2018, and will include details of how to access and complete the survey using SurveyMonkey. We are contacting all Heads of Service to inform you of the survey and to encourage your LA to complete it. The Association of Chief Trading Standards Officers ('ACTSO') have also agreed to promote this survey on our behalf, and to encourage participation by LAs to help ensure an accurate picture of the current regulatory landscape is provided.

The closing date for responses to the survey is **Friday 6th April 2018**. If you are unable to meet this deadline, please email ROFRegistration@food.gov.uk as we may be able to arrange an extension depending on circumstances.

If you would like to provide further information in respect of any of the topics covered in this survey, or would like to discuss any of the issues raised in more detail, please contact us at ROFRegistration@food.gov.uk.

Thank you in advance for participating in this survey and helping to shape the future delivery of food standards.

Yours sincerely,

Aaron Esler

Regulating Our Future Programme

Food Standards Delivery Review - Have your say!

As part of the Regulating Our Future ('ROF') programme, the Food Standards Agency is keen to understand the ways in which local authorities ('LAs') fulfil their obligations in respect of food standards - examining how food standards work is resourced, how it is prioritised and planned, and how success is measured.

We would like to hear the views of the food standards enforcement community, to ascertain whether there are any barriers to effective delivery, and to identify any examples of best practice or innovative delivery which could potentially be explored on a wider scale. This survey will be sent to all local authorities throughout England, Wales and Northern Ireland, to ensure that all have the opportunity to respond and help shape future delivery.

The survey consists of 57 questions on a range of topics related to the delivery of food standards controls, split into sections, and should take approximately 30-45 minutes to complete (although some questions may require respondents to obtain information from their records). The survey need not be completed in one go - responses will be saved and can be added to at any time until completed, providing that the same device is used to access the survey. Responses are logged for each page once the 'Next' button is pressed.

The survey is aimed at Lead Officers with responsibility for food standards within your authority. We are seeking an accurate picture of current delivery, and would like to assure respondents that any information provided in relation to this survey will be confidential and anonymous. Responses will only be used by the Regulating Our Future team to help inform the design of any future delivery model, and will not be used as part of an ongoing programme to monitor Local Authority performance.

If you would like to provide further detail in respect of any of the topics covered in this survey, or have any further questions, please contact us at ROFRegistration@food.gov.uk.

Thank you for participating in our survey. Your feedback is important.

Section 1 - Organisation

1. In which country is your local authority ('LA') located?

- England
- Wales
- Northern Ireland
- Prefer not to say

2. Which type of LA do you work for?

- County
- District
- Unitary
- Metropolitan District
- London Borough
- Prefer not to say

3. Approximately how many food businesses are currently registered within your LA?

4. Do you know whether this figure has increased, reduced or stayed relatively consistent over the last 3 years?

- Increased
- Remained Consistent
- Reduced
- Don't know

5. Approximately how many new food businesses have registered with your LA in the last 12 months?

6. Which risk rating intervention scheme do you currently use to manage food standards work? (Tick all that apply)

- Food Law Code Of Practice (food standards standalone)
- Food Law Code Of Practice (food standards & hygiene combined)
- National Trading Standards scheme
- LACORS scheme
- Intelligence Led (e.g. Intelligence Operating Model)
- Other (please specify)

7. How effective do you feel the risk rating scheme you use is in terms of helping to assign resources based on the actual risk posed by a business?

Not effective at all

Quite effective

Extremely effective



8. Does your LA have a business plan in place for food law enforcement?

Yes

No

Regulating Our Future Food Standards Delivery Survey

9. Has the food law business plan received approval from elected members?

Yes

No

Don't know

10. Is the food law business plan published?

Yes

No

11. How satisfied are you with the profile of food standards enforcement amongst your elected members?

Not satisfied at all

Somewhat satisfied

Extremely satisfied

Don't know



12. Does your LA have measures in place to help ensure an effective response can be provided in the case of a major food standards-related incident (e.g. Sudan I/horsemeat)?

Yes

No

Don't know

Regulating Our Future Food Standards Delivery Survey

Section 1 - Organisation (cont.)

13. Has your LA ever tested its emergency response measures to assess their effectiveness?

- Yes
- No
- Don't know

14. Please indicate which of the following arrangements would be included in your LA's response should a major food-standards incident arise (tick all that apply).

- | | |
|---|--|
| <input type="checkbox"/> Incident response resourced from within Department | <input type="checkbox"/> Emergency funding available |
| <input type="checkbox"/> Shared resources (internal) | <input type="checkbox"/> Out of hours emergency cover (internal) |
| <input type="checkbox"/> Shared resources (external) | <input type="checkbox"/> Out of hours emergency cover (external) |
| <input type="checkbox"/> Other (please specify) | |

Regulating Our Future Food Standards Delivery Survey

Section 2 - Resource

15. Who currently undertakes food standards official controls within your LA? (Tick all that apply)

- Environmental Health Officers ('EHOs')
- Trading Standards Officers ('TSOs')
- Food Safety Officers (with Higher Certificate in Food Control)
- Technical Officers (with Food Standards module in Trading Standards Qualification Framework)
- Support Officers
- Student Environmental Health Officers
- Student Trading Standards Officers
- Other (please specify)

16. Have all officers that undertake official controls been assessed against the competency framework in Chapter 4 of the Food Law Code of Practice

- Yes
- No
- Don't know

17. Of those officers undertaking food standards work, please identify in which other areas they also have enforcement responsibilities. (Tick all that apply)

- | | |
|---|---|
| <input type="checkbox"/> Age-Restricted Sales | <input type="checkbox"/> Food Hygiene |
| <input type="checkbox"/> Agriculture | <input type="checkbox"/> Intellectual Property |
| <input type="checkbox"/> Fair Trading | <input type="checkbox"/> Licensing |
| <input type="checkbox"/> Health & Safety | <input type="checkbox"/> Product Safety (incl. tobacco enforcement) |
| <input type="checkbox"/> Feed Hygiene | <input type="checkbox"/> Weights & Measures |
| <input type="checkbox"/> Other (please specify) | |

18. Do all officers involved in the delivery of food standards controls maintain the Continuing Professional Development ('CPD') requirements specified in the FLCOP?

- Yes
 No

Regulating Our Future Food Standards Delivery Survey

Section 2 - Resource (cont.)

19. What is the main barrier to maintaining CPD within your LA?

- Insufficient time/capacity
 Insufficient training available
 Other (please specify)

20. How is CPD maintained within your LA? (Tick all that apply)

- Internal training courses
 External training courses
 E-learning
 Attendance of regional groups/events
 Work shadowing
 Other (please specify)

21. Does an officer from your LA currently attend a regional food standards group?

Yes

No

Regulating Our Future Food Standards Delivery Survey

Section 2 - Resource (cont.)

22. How does the regional group meet?

Face to face meetings

Virtual meetings (e.g. conference call)

No meetings - issues shared & discussed via Knowledge Hub or similar web platform

No meetings - issues shared & discussed via email

Other (please specify)

23. How many individual officers within your LA are authorised to undertake food standards enforcement?

24. What is the current resource within your LA specifically involved in food standards enforcement, expressed as full-time equivalent?

25. Has this figure changed over the last 3 years?

Yes

No

If you answered 'yes', please specify the change (as +/- number of FTE)

26. Are there any planned reductions to the current food standards resource due within the next 12 months?

- Yes
- No
- Don't know

If yes, please specify the reduction planned, if known (as number/FTE)

27. Does the current FTE resource within your LA meet the minimum requirement specified in your food law business plan, in relation to the delivery of food standards controls?

- Yes
- No
- No minimum requirement specified in business plan
- No food law business plan in place

If no, please state the shortfall in terms of FTE.

28. Has your LA recruited any new officers to deliver food standards controls within the last 3 years?

- Yes
- No

Regulating Our Future Food Standards Delivery Survey

Section 2 - Resource (cont.)

29. Did you experience any difficulties in recruiting suitable staff?

- Yes
- No
- Don't Know

Regulating Our Future Food Standards Delivery Survey

Section 2 - Resource (cont.)

30. What were the difficulties you experienced?

- Lack of applicants
- Lack of experienced applicants
- Lack of suitably qualified applicants
- Budgetary constraints
- Other (please specify)

31. How many trainees has your LA supported through the Food Standards module of the Trading Standards Qualification Framework ('TSQF') over the last 3 years?

32. Is your LA currently in a position where it could support a trainee through the food standards module, if an approach was made from a suitable candidate?

- Yes
- No
- N/A (Food standards delivered exclusively by Environmental Health staff)

Regulating Our Future Food Standards Delivery Survey

Section 2 - Resource (cont.)

33. Why would your LA not be able to support a trainee through the food standards module? (Tick all that apply)

- Insufficient time/capacity
- Insufficient budget
- No internal assessor/verifier in place
- LA does not support trainees
- Other (please specify)

Regulating Our Future Food Standards Delivery Survey

Section 3 - Operational Considerations

34. Please indicate the number of food standards inspections completed for each of the following premises risk bands during the previous financial year (Apr 16 - Mar 17), expressed as a percentage of total due according to the risk scheme which you use.

For LACORS/NTSB scheme users, please record high risk premises under 'A' , medium risk premises (incl. upper/lower medium) under 'B' , and low risk premises under 'C'.

A	<input type="text"/>
B	<input type="text"/>
C	<input type="text"/>

35. If the responses to Q. 34 above fall outside the requirements of the Food Law Code of Practice, please identify the reasons for this shortfall (tick all that apply).

- Insufficient resource
- Insufficient capacity
- Alternative approach undertaken (e.g. Intelligence-based)
- Other local/regional priorities
- N/A
- Other (please specify)

36. How many unrated premises are there within your LA which have not yet received a food standards inspection?

37. Has your LA developed or implemented any of the following approaches in respect of the delivery of food standards controls? (Tick all that apply)

- Intelligence-based approach
- Improved business advice service (e.g. through Better Business for All scheme)
- Shared/combined services (internal)
- Shared/Combined services (external)
- Links with local economic growth teams/business groups
- Agreement with other services to act as 'eyes & ears' (e.g. Memorandum of Understanding with local EHOs)
- None of the above
- Other (please specify)

38. Is your LA's current approach to interventions/inspection activity included in your food law business plan?

- Yes
- No
- No business plan in place

39. Please indicate the way(s) in which proactive food standards enforcement work is planned and prioritised within your LA? (Tick all that apply)

- | | |
|---|---|
| <input type="checkbox"/> Use FLCOP intervention frequencies | <input type="checkbox"/> Use intelligence provided by FSA Operations team/National Food Crime Unit ('NFCU') |
| <input type="checkbox"/> Use local intelligence (incl. complaint data & inspection outcomes) | <input type="checkbox"/> Use information provided by industry |
| <input type="checkbox"/> Use intelligence from other LA departments (e.g. licensing, economic growth, EH) | <input type="checkbox"/> Use Public Analyst service to help identify emerging risks |
| <input type="checkbox"/> Use regional intelligence (via regional group/Regional Intelligence Officer) | <input type="checkbox"/> Horizon scanning (sources other than those listed above) |
| <input type="checkbox"/> Other (please specify) | |

40. Please identify the current priority areas for food standards work within your LA. (Tick 3 only)

- High risk food premises
- Allergens in catering establishments
- Allergens - other
- Food Supplements
- Internet sales (incl. social media)
- Unrated businesses/Start-ups
- Health/Lifestyle products
- Importers/Imported goods
- Meat speciation
- Other (please specify)

41. Do you currently measure the impact/success of your food standards work?

- Yes
- No

If yes, please indicate how impact/success is measured (e.g. number of inspections/prosecutions/samples, consumer savings achieved through addressing non-compliance (£), business testimonials etc)

42. Please state the number of food standards samples taken by your LA in the following financial years (1st April - 31st March).

2014/5 - submitted to Public Analyst ('PA')

2014/5 - labelling check/desktop analysis only

2015/6 - submitted to PA

2015/6 - labelling/desktop check only

2016/7 - submitted to PA

2016/7 - labelling/desktop check only

43. If there has been a reduction in sampling activity over the previous 3 years, please indicate the reason(s) for this. (Tick all that apply)

- Removal of central funding
- Insufficient sampling budget (local)
- No sampling plan in place
- Insufficient capacity
- Other priorities
- Public Analyst issues (e.g. slow turnaround)
- No reduction - N/A
- Other (please specify)

44. How important do you believe that access to an adequately funded Public Analyst service is to ensuring the effectiveness of food standards enforcement?

Not important at all

Quite important

Extremely important

Don't know

45. Has your LA shared any food standards-related intelligence with the National Food Crime Unit ('NFCU')?

- Yes
- No

46. Did you receive any feedback from the NFCU or other enforcement partners in relation to the sharing of this intelligence?

Yes

No

47. Has your LA received any food standards-related intelligence packages from the NFCU for investigation?

Yes

No

Regulating Our Future Food Standards Delivery Survey

Section 3 - Operational Considerations (cont.)

48. Did the intelligence shared by the NFCU result in successful enforcement action being taken by your LA?

Yes

No

Regulating Our Future Food Standards Delivery Survey

Section 4 - Business Advice & Guidance

49. How do you identify new food businesses within your department? (Tick all that apply)

- Direct contact from business
- Notification from Environmental Health (internal)
- Notification from District Council
- Notification from other LA departments (e.g. Economic Growth team)
- Notification from FSA Operations team
- Proactive work (online or in the community)
- Third Party Referral (e.g. Consultant, Just Eat etc.)
- Other (please specify)

50. Have you experienced any issues with the food business registration process within your LA?

- Yes
- No

Regulating Our Future Food Standards Delivery Survey

Section 4 - Business Advice & Guidance (cont.)

51. What difficulties have you experienced with the registration process? (Tick all that apply)

- New registrations not received
- Incomplete application
- Incorrect information on application form
- Delay in receiving new registrations
- Other (please specify)

52. Would any additional information captured at the point of registration for food businesses help you to plan and prioritise your work?

- Yes
- No

Regulating Our Future Food Standards Delivery Survey

Section 4 - Business Advice & Guidance (cont.)

53. What additional information would you find most useful? (Tick all that apply)

- | | |
|--|---|
| <input type="checkbox"/> Improved business categories | <input type="checkbox"/> Indication of whether weighing/measuring equipment used |
| <input type="checkbox"/> More detail on business activities | <input type="checkbox"/> Details of any other businesses under the control of the FBO |
| <input type="checkbox"/> More detail on products manufactured/imported | <input type="checkbox"/> Confirmation of online trading (internet/social media) |
| <input type="checkbox"/> FBO identification details (e.g. National Insurance number) | <input type="checkbox"/> Waste/surplus food supplied to animal feed industry? |
| <input type="checkbox"/> Other (please specify) | |

54. Which method(s) do you currently use to provide businesses with the information they need to comply with food standards requirements? (Tick all that apply)

- | | |
|---|---|
| <input type="checkbox"/> Face to face | <input type="checkbox"/> LA Website |
| <input type="checkbox"/> Telephone | <input type="checkbox"/> Signposting to other sources of guidance |
| <input type="checkbox"/> Email | <input type="checkbox"/> Newsletter |
| <input type="checkbox"/> Letter/Advice Pack | <input type="checkbox"/> Social media |
| <input type="checkbox"/> Other (please specify) | |

55. Do you currently charge for the provision of food standards business advice?

- Yes
 No

If yes, please provide details of your charging structure.

56. How many Primary Authority (PA) partnerships covering food standards does your LA operate?

57. Do you offer any other revenue-generating services? (Tick all that apply)

Training courses - business

Training courses - LAs

Bespoke advice

Assistance with business paperwork/procedures

Other (please specify)

Adolygiad Gweithredu Safonau Bwyd – Dweud eich Dweud!

Fel rhan o'n rhaglen Rheoleiddio Ein Dyfodol, mae'r Asiantaeth Safonau Bwyd yn awyddus i ddeall sut mae awdurdodau lleol (ALlau) yn mynd ati i gyflawni eu rhwymedigaethau mewn perthynas â safonau bwyd – gan edrych sut mae adnoddau'n cael eu dyrannu ar gyfer gwaith safonau bwyd, sut mae'r gwaith yn cael ei flaenoriaethu a'i gynllunio, a sut mae llwyddiant yn cael ei fesur.

Hoffem glywed barn y gymuned gorfodi safonau bwyd, i ganfod a oes unrhyw rwystrau i gyflawni'r gwaith yn effeithiol, ac i nodi unrhyw enghreifftiau o arfer gorau neu gyflawni arloesol y gellid eu harchwilio ar raddfa fwy. Bydd yr arolwg hwn yn cael ei anfon at bob awdurdod lleol ledled Cymru, Lloegr a Gogledd Iwerddon, i sicrhau bod pawb yn cael cyfle i ymateb a dylanwadu ar waith cyflawni'r dyfodol.

Mae'r arolwg yn cynnwys 57 cwestiwn ar bynciau o amrywiol yn ymwneud â gweithredu rheolaethau safonau bwyd. Maent wedi'u rhannu'n adrannau a dylai gymryd tua 30-45 munud i chi eu hateb (er efallai y bydd gofyn i ymatebwyr nôl gwybodaeth o'u cofnodion ar gyfer ambell i gwestiwn). Nid oes rhaid cwblhau'r arolwg cyfan mewn un sesiwn – bydd ymatebion yn cael eu cadw a gallwch ychwanegu atynt unrhyw bryd nes i chi gwblhau'r arolwg, ar yr amod eich bod chi'n defnyddio'r un ddyfais bob tro. Caiff ymatebion eu cofnodi ar gyfer pob tudalen pan fyddwch chi'n pwyso'r botwm 'Nesaf'.

Mae'r arolwg ar gyfer Swyddogion Arweiniol sy'n gyfrifol am safonau bwyd yn eich awdurdod. Rydym yn ceisio cael darlun cywir o'r gwaith ar hyn o bryd, a hoffem sicrhau ymatebwyr y bydd unrhyw wybodaeth a ddarperir mewn perthynas â'r arolwg hwn yn gyfrinachol ac yn ddiennw. Bydd yr ymatebion yn cael eu defnyddio gan y tîm Rheoleiddio Ein Dyfodol i lywio cynllun unrhyw fodel cyflawni yn y dyfodol, ac ni fyddant yn cael eu defnyddio gan y tîm Rheoleiddio Ein Dyfodol i lywio cynllun unrhyw fodel cyflawni yn y dyfodol, ac ni fyddant yn cael eu defnyddio fel rhan o raglen barhaus i fonitro perfformiad Awdurdod Lleol.

Os hoffech gyflwyno rhagor o fanylion mewn perthynas ag unrhyw un o'r pynciau sy'n cael sylw yn yr arolwg hwn, neu os oes gennych ragor o gwestiynau, cysylltwch â ni drwy anfon e-bost at ROFRegistration@food.gov.uk.

Diolch am gymryd rhan yn ein harolwg. Mae'ch adborth yn bwysig.

* 1. Ym mha wlad mae'ch awdurdod lleol?

- Cymru
- Lloegr
- Gogledd Iwerddon
- Ddim am ddweud

* 2. Ar gyfer pa fath o awdurdod lleol ydych chi'n gweithio?

- Sir
- Dosbarth
- Unedol
- Dosbarth Metropolitan
- Bwrdeistref yn Llundain
- Ddim am ddweud

* 3. Tua faint o fusnesau bwyd sydd wedi'u cofrestru yn eich awdurdod lleol ar hyn o bryd?

* 4. Ydych chi'n gwybod a yw'r ffigur hwn wedi cynyddu, gostwng neu aros yn weddol gyson dros y 3 blynedd diwethaf?

- Cynyddu
- Aros yn gyson
- Gostwng
- Ddim yn gwybod

* 5. Tua faint o fusnesau bwyd newydd sydd wedi cofrestru gyda'ch awdurdod lleol yn y 12 mis diwethaf?

* 6. Pa gynllun ymyrraeth sgorio risg ydych chi'n ei ddefnyddio ar hyn o bryd i reoli gwaith safonau bwyd? (Ticiwch bob un sy'n berthnasol)

- Cod Ymarfer Cyfraith Bwyd (safonau bwyd yn unig)
- Cod Ymarfer Cyfraith Bwyd (safonau a hylendid bwyd gyda'i gilydd)
- Cynllun Safonau Masnach Cenedlaethol
- Cynllun LACORS
- Arwain gan wybodaeth (*intelligence*) (e.e. Model Gweithredu Gwybodaeth)
- Arall (nodwch)

* 7. Yn eich barn chi, pa mor effeithiol yw'r cynllun sgorio risg rydych chi'n ei ddefnyddio o ran helpu i ddyrannu adnoddau ar sail y risg wirioneddol sy'n deillio o fusnes?

Ddim yn effeithiol o gwbl

Eithaf effeithiol

Effeithiol iawn



* 8. Oes gan eich awdurdod lleol gynllun busnes ar gyfer gorfodi cyfraith bwyd?

Oes

Nac oes

Arolwg Safonau Bwyd Rhaglen Rheoleiddio Ein Dyfodol

* 9. Ydy'r cynllun busnes cyfraith bwyd wedi'i gymeradwyo gan aelodau etholedig?

Ydy

Nac ydy

Ddim yn gwybod

* 10. Ydy'r cynllun busnes cyfraith bwyd wedi'i gyhoeddi?

Ydy

Nac ydy

* 11. Pa mor fodlon ydych chi â phroffil gwaith gorfodi safonau bwyd ymhlith eich aelodau etholedig?

Ddim yn fodlon o
gwbl

Gweddol fodlon

Bodlon iawn

Ddim yn gwybod



* 12. Oes gan eich awdurdod lleol fesurau ar waith i sicrhau bod modd ymateb yn effeithiol i ddigwyddiad difrifol yn ymwneud â safonau bwyd (e.e. Sudan I/cig ceffyl)?

Oes

Nac oes

Ddim yn gwybod

Arolwg Safonau Bwyd Rhaglen Rheoleiddio Ein Dyfodol

Adran 1 – Sefydliad (parhad)

* 13. Ydy'ch awdurdod lleol erioed wedi rhoi ei fesurau ymateb brys ar brawf i asesu pa mor effeithiol ydynt?

- Do
- Naddo
- Ddim yn gwybod

* 14. Nodwch pa rai o'r trefniadau canlynol fyddai'n rhan o ymateb eich awdurdod lleol i ddigwyddiad safonau bwyd difrifol (ticiwch bob un sy'n berthnasol).

- | | |
|---|---|
| <input type="checkbox"/> Ymateb i'r digwyddiad gydag adnoddau o'r Adran | <input type="checkbox"/> Cyllid argyfwng ar gael |
| <input type="checkbox"/> Adnoddau a rennir (mewnol) | <input type="checkbox"/> Gwasanaeth cyflenwi y tu allan i oriau mewn argyfwng (mewnol) |
| <input type="checkbox"/> Adnoddau a rennir (allanol) | <input type="checkbox"/> Gwasanaeth cyflenwi y tu allan i oriau mewn argyfwng (allanol) |
| <input type="checkbox"/> Arall (nodwch) | |

Arolwg Safonau Bwyd Rhaglen Rheoleiddio Ein Dyfodol

Adran 2 – Adnoddau

* 15. Pwy sy'n ymwneud â rheolaethau swyddogol safonau bwyd yn eich awdurdod lleol ar hyn o bryd? (Ticiwch bob un sy'n berthnasol)

- Swyddogion Iechyd yr Amgylchedd ('EHOs')
- Swyddogion Safonau Masnach ('TSOs')
- Swyddogion Diogelwch Bwyd (gyda Thystysgrif Uwch mewn Rheolaeth Bwyd)
- Swyddogion Technegol (gyda modiwl Safonau Bwyd yn y Fframwaith Cymwysterau Safonau Masnach)
- Swyddogion Cymorth
- Swyddogion Iechyd yr Amgylchedd sy'n Fyfyrrwyr
- Swyddogion Safonau Masnach sy'n Fyfyrrwyr
- Arall (nodwch)

* 16. Ydy pob swyddog sy'n ymwneud â rheolaethau swyddogol wedi cael ei asesu yn erbyn y fframwaith cymhwysedd ym Mhennod 4 y Cod Ymarfer Cyfraith Bwyd?

- Ydy
- Nac ydy
- Ddim yn gwybod

* 17. O'r swyddogion hynny sy'n gwneud gwaith safonau bwyd, nodwch ym mha feysydd eraill y mae ganddynt gyfrifoldebau gorfodi hefyd. (Ticiwch bob un sy'n berthnasol)

- | | |
|--|---|
| <input type="checkbox"/> Gwerthu cyfyngedig o ran oedran | <input type="checkbox"/> Hylendid bwyd |
| <input type="checkbox"/> Amaeth | <input type="checkbox"/> Eiddo deallusol |
| <input type="checkbox"/> Masnachu teg | <input type="checkbox"/> Trwyddedu |
| <input type="checkbox"/> Iechyd a diogelwch | <input type="checkbox"/> Diogelwch cynhyrchion (gan gynnwys gorfodi tybaco) |
| <input type="checkbox"/> Hylendid bwyd anifeiliaid | <input type="checkbox"/> Pwysau a mesurau |
| <input type="checkbox"/> Arall (nodwch) | |

* 18. Ydy pob swyddog sy'n ymwneud â gweithredu rheolaethau safonau bwyd yn cynnal y gofynion Datblygiad Proffesiynol Parhaus a nodir yn y Cod Ymarfer Cyfraith Bwyd?

- Ydy
- Nac ydy

Arolwg Safonau Bwyd Rhaglen Rheoleiddio Ein Dyfodol

Adran 2 – Adnoddau (parhad)

* 19. Beth yw'r prif rwystr i gynnal Datblygiad Proffesiynol Parhaus yn eich awdurdod lleol?

- Dim digon o amser/capaciti
- Dim digon o hyfforddiant ar gael
- Arall (nodwch)

* 20. Sut mae Datblygiad Proffesiynol Parhaus yn cael ei gynnal eich awdurdod lleol? (Ticiwch bob un sy'n berthnasol)

- Cyrsiau hyfforddi mewnol
- Cyrsiau hyfforddi allanol
- E-ddysgu
- Mynychu grwpiau/digwyddiadau rhanbarthol
- Cysgodi pobl wrth eu gwaith
- Arall (nodwch)

* 21. Oes swyddog o'ch awdurdod lleol yn mynychu grŵp safonau bwyd rhanbarthol ar hyn o bryd?

- Oes
- Nac oes

Arolwg Safonau Bwyd Rhaglen Rheoleiddio Ein Dyfodol

Adran 2 – Adnoddau (parhad)

* 22. Sut mae'r grŵp rhanbarthol yn cyfarfod?

- Cyfarfodydd wyneb yn wyneb
- Rhith-gyfarfodydd (e.e. galwad gynhadledd)
- Dim cyfarfodydd – rhannu a thrafod materion drwy Hyb Gwybodaeth neu blatfform tebyg ar y we
- Dim cyfarfodydd – rhannu a thrafod materion dros e-bost
- Arall (nodwch)

* 23. Sawl swyddog unigol yn eich awdurdod lleol sydd â'r awdurdod i orfodi safonau bwyd?

* 24. Faint o adnoddau sy'n ymwneud yn benodol â gorfodi safonau bwyd sydd yn eich awdurdod lleol ar hyn o bryd, wedi'i fynegi fel cyfwerth ag amser llawn?

* 25. Ydy'r ffigur hwn wedi newid dros y tair blynedd diwethaf?

- Ydy
- Nac ydy

Os ateboch 'ydy', nodwch y newid (fel +/- nifer y swyddogion cyfwerth ag amser llawn)

* 26. Oes unrhyw ostyngiadau ar y gweill yn yr adnoddau safonau bwyd cyfredol yn y 12 mis nesaf?

- Oes
- Nac oes
- Ddim yn gwybod

Os oes, nodwch y gostyngiad sydd ar y gweill, os yw'n hysbys (fel rhif/cyfwerth ag amser llawn)

* 27. Ydy'r adnoddau cyfwerth ag amser llawn cyfredol yn eich awdurdod lleol yn bodloni'r trothwy gofynnol a nodir yn eich cynllun busnes cyfraith bwyd, mewn perthynas â gweithredu rheolaethau safonau bwyd?

- Ydy
- Nac ydy
- Dim trothwy gofynnol wedi'i nodi yn y cynllun busnes
- Dim cynllun busnes cyfraith bwyd ar waith

Os nad ydynt, nodwch y diffyg yn nhermau swyddogion cyfwerth ag amser llawn.

* 28. Ydy'ch awdurdod lleol wedi recriwtio unrhyw swyddogion newydd i weithredu rheolaethau safonau bwyd yn y tair blynedd diwethaf?

- Do
- Naddo

Arolwg Safonau Bwyd Rhaglen Rheoleiddio Ein Dyfodol

Adran 2 – Adnoddau (parhad)

* 29. Gawsoch chi drafferth recriwtio staff addas?

- Do
- Naddo
- Ddim yn gwybod

Arolwg Safonau Bwyd Rhaglen Rheoleiddio Ein Dyfodol

Adran 2 - Adnoddau (parhad)

* 30. Pa anawsterau gawsoch chi?

- Diffyg ymgeiswyr
- Diffyg ymgeiswyr profiadol
- Diffyg ymgeiswyr â chymwysterau addas
- Cyfyngiadau cyllidebol
- Arall (nodwch)

* 31. Faint o hyfforddeion y mae'ch awdurdod lleol wedi'u cefnogi drwy fodiwl Safonau Bwyd y Fframwaith Cymwysterau Safonau Masnach ('TSQF') dros y 3 blynedd diwethaf?

* 32. Ydy'ch awdurdod lleol mewn sefyllfa i gefnogi hyfforddai drwy'r modiwl safonau bwyd ar hyn o bryd, pe bai ymgeisydd addas yn gwneud cais am gymorth o'r fath?

- Ydy
- Nac ydy
- Ddim yn berthnasol (Gwasanaeth Safonau Bwyd yn cael ei gynnal gan staff Iechyd yr Amgylchedd yn unig)

Arolwg Safonau Bwyd Rhaglen Rheoleiddio Ein Dyfodol

Adran 2 – Adnoddau (parhad)

* 33. Pam na fyddai'ch awdurdod lleol yn gallu cefnogi hyfforddai drwy'r modiwl safonau bwyd? (Ticiwch bob un sy'n berthnasol)

- Dim digon o amser/capasiti
- Dim digon o gyllid
- Dim aseswr/dilysydd mewnol
- Awdurdod lleol ddim yn cefnogi hyfforddeion
- Arall (nodwch))

Arolwg Safonau Bwyd Rhaglen Rheoleiddio Ein Dyfodol

Adran 3 – Ystyriaethau Gweithredol

* 34. Nodwch nifer yr archwiliadau safonau bwyd a gwblhawyd ar gyfer pob un o'r bandiau risg canlynol ar gyfer safleoedd yn ystod y flwyddyn ariannol flaenorol (Ebr 16 - Maw 17), wedi'i fynegi fel canran o'r cyfanswm yn ôl y cynllun risg a ddefnyddiwyd.

Ar gyfer defnyddwyr cynlluniau LACORS/NTSB, cofnodwch safleoedd risg uchel o dan 'A', safleoedd risg ganolig (yn cynnwys canolig uchaf/isaf) o dan 'B', a safleoedd risg isel o dan 'C'.

A

B

C

* 35. Os nad yw'r ymatebion i Gwestiwn 34 uchod yn bodloni gofynion y Cod Ymarfer Cyfraith Bwyd, nodwch y rhesymau dros hyn (ticiwch bob un sy'n berthnasol).

- Dim digon o adnoddau
- Dim digon o gapasiti
- Dull arall wedi'i ddefnyddio (e.e. seiliedig ar wybodaeth (*intelligence*))
- Blaenoriaethau lleol/rhanbarthol eraill
- Amherthnasol
- Arall (nodwch)

* 36. Faint o safleoedd heb eu sgorio sydd yn eich awdurdod lleol sydd heb gael archwiliad safonau bwyd hyd yma?

* 37. Ydy'ch awdurdod lleol wedi datblygu neu weithredu unrhyw un o'r dulliau canlynol mewn perthynas â gweithredu rheolaethau safonau bwyd? (Ticiwch bob un sy'n berthnasol)

- Dull seiliedig ar wybodaeth (*intelligence*)
- Gwell gwasanaeth cyngor busnes (e.e. drwy'r cynllun Gwell Busnes i Bawb)
- Gwasanaeth a rennir/cyfunol (mewnol)
- Gwasanaeth a rennir/cyfunol (allanol)
- Cysylltiadau â thimau twf economaidd/grwpiau busnes lleol
- Cytundeb gyda gwasanaethau eraill i weithredu fel 'llygaid a chlustiau' (e.e. Memorandwm Cyd-ddealltwriaeth gyda Swyddogion Iechyd yr Amgylchedd Lleol)
- Dim un o'r uchod
- Arall (nodwch)

* 38. Ydy dull cyfredol eich awdurdod lleol o fynd i'r afael ag ymyriadau/gweithgarwch archwilio wedi'i gynnwys yn eich cynllun busnes cyfraith bwyd?

- Ydy
- Nac ydy
- Dim cynllun busnes ar waith

* 39. Nodwch sut mae gwaith gorfodi safonau bwyd rhagweithiol yn cael ei gynllunio a'i flaenoriaethu yn eich awdurdod lleol? (Ticiwch bob un sy'n berthnasol)

- Ymyrryd yn unol â'r amldeira a nodir yn y Cod Ymarfer Cyfraith Bwyd
- Defnyddio gwybodaeth (*intelligence*) gan dîm Gweithrediadau'r ASB/Uned Genedlaethol Troseddau Bwyd
- Defnyddio gwybodaeth (*intelligence*) leol (gan gynnwys data cwynion a chanlyniadau archwiliadau)
- Defnyddio gwybodaeth gan y diwydiant
- Defnyddio gwybodaeth (*intelligence*) o adrannau eraill yr awdurdod lleol (e.e. trwyddedu, twf economaidd, iechyd yr amgylchedd)
- Defnyddio gwasanaeth Dadansoddwr Cyhoeddus i nodi risgiau newydd
- Defnyddio gwybodaeth (*intelligence*) ranbarthol (drwy grŵp rhanbarthol/Swyddog Gwybodaeth Rhanbarthol)
- Sganio'r gorwel (ffynonellau heblaw'r rheini a restrir uchod)
- Arall (nodwch)

* 40. Nodwch y meysydd blaenoriaeth cyfredol ar gyfer gwaith safonau bwyd yn eich awdurdod lleol.
(Ticiwch dri yn unig)

- Safleoedd bwyd risg uchel
- Alergenau mewn sefydliadau arlwyyo
- Alergenau – eraill
- Atchwanegiadau bwyd
- Gwerthu dros y rhyngwrwd (gan gynnwys cyfryngau cymdeithasol)
- Busnesau newydd/busnesau heb eu sgorio
- Cynhyrchion iechyd/ffordd o fyw
- Mewnforwyr/Nwyddau wedi'u mewnforio
- Profion rhywogaethau cig
- Arall (nodwch))

* 41. Ydych chi'n mesur effaith/llwyddiant eich gwaith safonau bwyd ar hyn o bryd?

- Ydyn
- Nac ydyn

Os ydych, nodwch sut mae effaith/llwyddiant yn cael ei fesur (e.e. nifer yr archwiliadau/erlyniadau/samplau, arbedion i gwsmeriaid a gyflawnwyd drwy fynd i'r afael â diffyg cydymffurfiaeth (£), geirdaon busnesau ac ati)

* 42. 1. Nodwch nifer y samplau safonau bwyd a gymerwyd gan eich awdurdod lleol yn y blynyddoedd ariannol canlynol (1 Ebrill – 31 Mawrth).

2014/5 – cyflwynwyd i

Ddadansoddwr
Cyhoeddus

2014/5 – gwirio

labeli/dadansoddiad
bwrdd gwaith yn unig

2015/6 – cyflwynwyd i

Ddadansoddwr
Cyhoeddus

2015/6 – gwiriad

labeli/bwrdd gwaith yn
unig

2016/7 – cyflwynwyd i

Ddadansoddwr Cyhoeddu
s

2016/7 - gwiriad

labeli/bwrdd gwaith yn
unig

* 43. Os yw gweithgarwch samplu wedi lleihau dros y tair blynedd flaenorol, nodwch y rheswm(rhesymau) am hyn. (Ticiwch bob un sy'n berthnasol)

Dileu cyllid canolog

Cyllideb samplu annigonol (lleol)

Dim cynllun samplu ar waith

Dim digon o gapasiti

Blaenoriaethau eraill

Problemau Dadansoddwr Cyhoeddus (e.e. araf yn cyflawni)

Dim lleihad - Amherthnasol

Arall (nodwch)

* 44. Pa mor bwysig yw mynediad at wasanaeth Dadansoddwr Cyhoeddus sydd wedi'i gyllido'n ddigonol i sicrhau effeithiolrwydd gwaith gorfodi safonau bwyd yn eich barn chi?

Ddim yn bwysig o
gwbl

Eithaf pwysig

Pwysig iawn

Ddim yn gwybod

* 45. Ydy'ch awdurdod lleol wedi rhannu unrhyw wybodaeth (*intelligence*) sy'n gysylltiedig â safonau bwyd gyda'r Uned Genedlaethol Troseddau Bwyd?

Do

Naddo

Arolwg Safonau Bwyd Rhaglen Rheoleiddio Ein Dyfodol

Adran 3 – Ystyriaethau Gweithredol (parhad)

* 46. Gawsoch chi unrhyw adborth gan yr Uned Genedlaethol Troseddau Bwyd neu bartneriaid gorfodi eraill mewn perthynas â rhannu'r wybodaeth (*intelligence*) hon?

Do

Naddo

* 47. Ydy'ch awdurdod lleol wedi derbyn unrhyw becynnau gwybodaeth (*intelligence*) yn ymwneud â safonau bwyd gan yr Uned Genedlaethol Troseddau Bwyd i ymchwilio iddynt?

Do

Naddo

Arolwg Safonau Bwyd Rhaglen Rheoleiddio Ein Dyfodol

Adran 3 – Ystyriaethau Gweithredol (parhad)

* 48. A wnaeth gwybodaeth (*intelligence*) a rannwyd gan yr Uned Genedlaethol Troseddau Bwyd arwain at gymryd camau gorfodi llwyddiannus gan eich awdurdod lleol?

Do

Naddo

Arolwg Safonau Bwyd Rhaglen Rheoleiddio Ein Dyfodol

Adran 4 – Cyngor a Chanllawiau Busnes

* 49. Sut ydych chi'n cael gwybod am fusnesau bwyd newydd yn eich adran? (Ticiwch bob un sy'n berthnasol)

- Busnesau'n cysylltu â ni'n uniongyrchol
- Hysbysiad gan lechyd yr Amgylchedd (mewnol)
- Hysbysiad gan Gyngor Dosbarth
- Hysbysiad gan adrannau All eraill (e.e. Tîm Twf Economaidd)
- Hysbysiad gan Dîm Gweithrediadau'r ASB
- Gwaith rhagweithiol (ar-lein neu yn y gymuned)
- Atgyfeiriad gan Drydydd Parti (e.e. Ymgynghorydd, Just Eat ac ati)
- Arall (nodwch)

* 50. Ydych chi wedi cael unrhyw drafferthion gyda'r broses cofrestru busnes bwyd yn eich awdurdod lleol?

- Ydw
- Nad ydw

Arolwg Safonau Bwyd Rhaglen Rheoleiddio Ein Dyfodol

Adran 4 – Cyngor a Chanllawiau (parhad)

* 51. Pa drafferthion ydych chi wedi'u cael gyda'r broses gofrestru? (Ticiwch bob un sy'n berthnasol)

- Cofrestriadau newydd heb eu derbyn
- Cais anghyflawn
- Gwybodaeth anghywir ar y ffurflen gais
- Oedi wrth dderbyn cofrestriadau newydd
- Arall (nodwch)

* 52. Fyddai cofnodi unrhyw wybodaeth ychwanegol adeg cofrestru busnesau bwyd yn eich helpu i gynllunio a blaenoriaethu'ch gwaith?

- Byddai
- Na fyddai

Adran 4 – Cyngor a Chanllawiau Busnes (parhad)

* 53. Pa wybodaeth ychwanegol fyddai fwyaf defnyddiol i chi? (Ticiwch bob un sy'n berthnasol)

- | | |
|---|--|
| <input type="checkbox"/> Categoriâu busnes gwell | <input type="checkbox"/> Gwybodaeth sy'n nodi a ddefnyddir offer pwysu/mesur ai peidio |
| <input type="checkbox"/> Rhagor o fanylion am weithgareddau busnes | <input type="checkbox"/> Manylion unrhyw fusnesau eraill sydd o dan reolaeth y Gweithredwr Busnes Bwyd |
| <input type="checkbox"/> Rhagor o fanylion am y cynhyrchion a weithgynhyrchir/fewnforir | <input type="checkbox"/> Cadarnhau masnachu ar-lein (rhynggrwyd/cyfrngau cymdeithasol) |
| <input type="checkbox"/> Manylion adnabod Gweithredwr Busnes Bwyd (e.e. rhif Yswiriant Gwladol) | <input type="checkbox"/> Cyflenwi gwastraff bwyd/bwyd dros ben i'r diwydiant bwydydd anifeiliaid? |
| <input type="checkbox"/> Arall (nodwch) | |

* 54. Pa ddull(iau) a ddefnyddiwyd ar hyn o bryd i roi'r wybodaeth sydd ei hangen ar fusnesau i gydymffurfio â gofynion safonau bwyd? (Ticiwch bob un sy'n berthnasol)

- | | |
|---|--|
| <input type="checkbox"/> Wyneb yn wyneb | <input type="checkbox"/> Gwefan yr awdurdod lleol |
| <input type="checkbox"/> Ffôn | <input type="checkbox"/> Cyfeirio at ffynonellau gwybodaeth eraill |
| <input type="checkbox"/> E-bost | <input type="checkbox"/> Cylchlythyr |
| <input type="checkbox"/> Llythyr/pecyn cyngor | <input type="checkbox"/> Cyfrngau cymdeithasu |
| <input type="checkbox"/> Arall (nodwch) | |

* 55. Ydych chi'n codi tâl am ddarparu cyngor i fusnesau ar safonau bwyd ar hyn o bryd?

- Ydyn
- Nac ydyn

Os ydych, rhowch fanylion eich strwythur codi tâl.

* 56. Faint o bartneriaethau Prif Awdurdod sy'n cwmpasu safonau bwyd a gaiff eu gweithredu gan eich awdurdod lleol?

* 57. Ydych chi'n cynnig unrhyw wasanaethau eraill sy'n cynhyrchu refeniw? (Ticiwch bob un sy'n berthnasol)

- Cyrsiau hyfforddi – busnesau
- Cyrsiau hyfforddi – awdurdodau lleol
- Cyngor wedi'i deilwra
- Cymorth gyda gwaith papur/gweithdrefnau busnes
- Arall (nodwch)