

**The Delivery of Official Controls in Local Authority Approved Establishments Audit**

**Standard Checklist**

***This document is subject to continual review, please check the FSS website for the latest version.***

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| **Version no.** | **Date** | **Description of Changes** |
| 1.0 | 16/05/2024 |  |

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| **Audit Criteria and Reference Documents:**Regulation (EU) 2017/625Food Law Code of Practice (Scotland) 2019Approved Establishments Scottish National ProtocolThe Food Hygiene (Scotland) Regulations 2006Regulation (EC) No 178/2002Regulation (EC) No 852/2004Regulation (EC) No 853/2004 Regulation (EC) No 2073/2005The Food Information (Scotland) Regulations 2014 Regulation (EU) No 1169/2011  |  |
| Organisation and Management |
| Question  | Comments / Evidence  | Audit Criteria  |
| 1. Does the Service Plan (or other supporting documentation) provide sufficient detail relevant to the approved establishments (AE) function?
2. Are AE prioritised in the Local Authority’s Service Plan?
3. Has the authority undertaken an annual review of their service performance in relation to AE for 2023/2024? Yes/No
4. If yes, following the review were actions to address any variations from the Service Plan included in the following year’s arrangements?
5. Do LA records of AE match the information held by FSS?
6. How does the Authority plan its AE interventions?
7. How does the Authority manage its AE interventions?
8. What Control Verification Procedures (Internal Monitoring) exist for the purpose of ensuring that official controls and other official activities are consistent and effective?
 |  | *Regulation (EU) 2017/625**Article 4 & 5**Food Law Code of Practice (Scotland) 2019**The Scottish National Protocol* |
| Policies & Procedures  |
| Question | Comments / Evidence  | Audit Criteria |
| 1. Does the Local Authority have an AE Procedure?
2. Does the procedure indicate and/or describe how the LA will ensure that official controls on all AE operators are performed regularly, on a risk basis, with appropriate frequency and taking account of relevant factors in Article 9 of Regulation (EU) 2017/625?
3. Are up to date copies of appropriate documentation including legislation and guidance (relevant to Approvals under Regulation (EC) No 853/2004 available to all relevant staff?
4. Does the procedure include Official Control Verification techniques (OCV)?
5. Does the procedure detail the requirement to notify FSS each time a Conditional Approval/Approval is received, granted, extended, refused, suspended, withdrawn, surrendered, varied or removed?
6. Are staff all aware of the procedure and can it be easily accessed?
 |  | *Regulation (EU) 2017/625**Article 5,9, 12 & 148* *Regulation (EC) No 853/2004**Food Law Code of Practice (Scotland) 2019**Approved Establishments Scottish National Protocol* |
| Interventions at Approved Establishments *(including interventions methodology and enforcement action)*  |
| Question | Comments / Evidence  | Audit Criteria  |
| 1. Does the authority carry out unannounced inspections at AE?
2. What risk rating systems are currently being used to score interventions in AEs?
3. Were there any missed interventions in AE in 2023/2024?
4. How does the authority detail and record its official control interventions in AE?
5. Is there a comprehensive record of inspection?
6. Are standard forms used?
7. Does the detail record for each intervention comply with the requirements of the relevant legislation?
8. What interventions methodology has been used?
9. Has there been a sufficient assessment of HACCP made and is it recorded?
10. Has there been a sufficient assessment of Food Standards made and is it recorded?
11. Do you report any suspected food fraud issues identified in AE to FSS through CLUE?
12. Has a food establishment intervention report (Annex 6 FLCoP) been issued to the FBO after each intervention?
13. Does the Report detail contraventions identified and clearly differentiates between legal requirements and recommendations?
14. Has appropriate follow up action been taken against contraventions in accordance with Regulation 2017 /625 Article 13?

 1. Has the authority taken any enhanced enforcement action (service of notices) in the last 12 months?
2. Details of Notices (HIN/RAN/HEPN)
3. Details of Conditional Approvals or Approvals received, granted, refused, suspended, removed, etc.
4. Any complaints, incidents, voluntary withdrawals, allergy alerts, product recalls related to any AE? *(root cause analysis completed?)*
5. Any voluntary surrender or detention or seizure of food?
 |  | *Regulation (EU) 2017/625**Article 9, 13 & 14* *Food Law Code of Practice (Scotland) 2019**Approved Establishments Scottish National Protocol**The Food Hygiene (Scotland) Regulations 2006**Regulation (EC) No 178/2002**Regulation (EC) No 852/2004**Regulation (EC) No 853/2004* *Regulation (EC) No 2073/2005**The Food Information (Scotland) Regulations 2014* *Regulation (EU) No 1169/2011* |
| Competency of Officers  |
| Question | Comments / Evidence  | Audit Criteria  |
| 1. Are staff performing official controls and other official activities in AE sufficiently qualified, trained and experienced?
2. What training do they have?
3. In establishments that carry out specialist or complex manufacturing processes are staff sufficiently trained to allow them to undertake their duties competently?

 1. How do you verify that staff acquire the appropriate hours of continuous professional development?
 |  | *Regulation (EU) 2017/625**Article 5* *Food Law Code of Practice (Scotland) 2019**The Food Hygiene (Scotland) Regulations 2006* |
| Food Enforcement Database  |
| Question | Comments / Evidence  | Audit Criteria  |
| 1. Are official controls recorded appropriately and consistently on the Authority’s Food Establishment Database (FED)?
2. Does the FED / spreadsheet contain all the relevant information and documentation relating to each AE at the Authority?
3. Is the recording of information on AE on the Authority’s FED or spreadsheet monitored?
 |  | *Regulation (EU) 2017/625**Article 131* *Food Law Code of Practice (Scotland) 2019* |
| Sampling  |
| Question | Comments / Evidence  | Audit Criteria  |
| 1. Does the authority have a sampling programme and plan that includes sampling from approved establishments?
2. Does the Authority utilise sampling as an official control intervention?
3. How many samples have been taken from approved establishments in the last 12 months?
4. Is there evidence that officers are checking that specific sampling requirements (i.e: minced meat, meat preps, fish, dairy, etc) are met by FBO (where applicable)?
5. How does the authority verify that appropriate action has been taken following any unsatisfactory sampling results carried out by the AE operator?
 |  | *Regulation (EU) 2017/625**Article 14 & 138* *Food Law Code of Practice (Scotland) 2019**Approved Establishments Scottish National Protocol**Regulation (EC) No 2073/2005* |