

# **Audit of Local Authority Service Delivery Controls for Incidents and Alerts**

Brighton and Hove City Council  
15-16 July 2015



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## **1.0 Introduction**

- 1.1 This is a report on the outcomes of the Food Standards Agency's (FSA's) audit of Brighton and Hove City Council conducted between 15 and 16 July 2015 at Brighton and Hove City Council offices at Bartholomew House, Bartholomew Square, Brighton BN1 1J. The audit was carried out as part of a programme of audits on local authority (LA) controls for Incidents and Alerts. In the Authority these controls were delivered by Environmental Health and Trading Standards teams. The report has been made available on the Agency's website at:

[www.food.gov.uk/enforcement/auditandmonitoring/auditreports](http://www.food.gov.uk/enforcement/auditandmonitoring/auditreports)

Hard copies are available from the FSA's Operations Assurance Division at Foss House, Peasholme Green, York, YO1 7PR. Tel: 01904 232116

- 1.2 The audit was carried out under section 12(4) of the Food Standards Act 1999 and the Agency will produce a summary report covering outcomes from the audits of all local authorities assessed during this programme.

## **2.0 Scope of the Audit**

- 2.1 The audit focused on controls that the LA had in place to deal with Incidents and Alerts with reference to the Framework Agreement and the Food/Feed Law Code of Practice (F/FLCoP). This included organisation and management, resources, development and implementation of appropriate control procedures, receipt of and response to alerts, reporting of incidents, advice enforcement and sampling, premises database, training and authorisation of officers, liaison and internal monitoring. Views on current arrangements for incidents and alerts were sought to inform FSA policy development.

## **3.0 Objectives**

- 3.1 The objectives of the audit were to gain assurance that:
- LAs have adequate capability and effective controls in place to deal with incidents and alerts with reference to the requirements of the Standard in the Framework Agreement, the F/FLCoP and centrally issued guidance.
  - The interface between the FSA and LAs with regard to the handling of incidents and alerts is appropriate and effective.

The audit also sought to;

- Identify any significant weaknesses and potential improvements in the overall arrangements for the handling of incidents and alerts.
- Identify and disseminate good practice for incidents and alerts controls

## **4.0 Executive Summary**

4.1 The Authority was delivering a range of incidents and alerts controls in accordance with the statutory obligations placed on the Authority and the interface between the FSA and the Authority was for most parts effective. However the Authority needed to make improvements to fully meet the requirements of the Framework Agreement and the Food Law Code of Practice (F/FLCoP) and to strengthen the interface between the FSA and the Authority. A number of potential improvements in the overall arrangements and controls for incidents and alerts were identified. The key areas for improvements for the LA are set out below.

### **4.2 Key areas for LA improvement:**

#### **Incidents and Alerts**

4.2.1 The Authority had not recorded receipt, response and outcomes to two food alerts for action. The Authority needed to ensure that it documented responses and outcomes to all alerts.

4.2.2 Arrangements for out of hours receipt and response to alerts by Trading Standards were unclear and the Environmental Health work instruction for the control and investigation of outbreaks of food related infectious disease needed to be reviewed to provide for an effective out of hours response to a serious incident or outbreak.

#### **Organisation and Management**

4.2.3 The Authority needed to ensure that the Service Plan included a clear comparison of the resources required to carry out the full range of statutory food law enforcement activities against the resources available to the Service.

#### **Sampling Policy**

4.2.4 There was no sampling policy in place for Trading Standards and the Authority needed to develop, maintain and implement a documented sampling policy for Trading Standards

## **Enforcement**

- 4.2.5 In carrying out enforcement action in relation to the detention, voluntary surrender and withdrawal of food from the market the Authority needed to ensure it carried out actions in accordance with the relevant codes of practice and guidance.

## **5.0 Audit Findings and Recommendations**

### **5.1 Organisation and Management**

- 5.1.1 The Authority had developed a documented Official Feed and Food Controls Service Plan for 2015/16 which had been approved by elected members. The Service Plan was well structured and broadly followed the Service Planning Guidance in the Framework Agreement.
- 5.1.2 As required by the Framework Agreement the Service Plan included a specific section for feed/food safety incidents. This set out arrangements for the receipt of alerts, product recalls from the FSA and the provision of an out of hours and emergency service. It stated that the Environmental Health Manager and senior staff were registered to receive food alerts direct to mobile phones. The Plan detailed the number of food alerts received by the Authority from 2010/11 to 2014/15 and also included an estimated demand figure of 75 alerts for 2015/16.
- 5.1.3 The Service Plan also included references to incidents and alerts as follows;
- The scope of the Service included reference to the Environmental Health Team taking steps to publicise and act on national food alerts and the Trading Standards team reacting to food alerts.
  - With regard to access to the food safety team it was stated that senior environmental health staff with competency in food safety provided cover for out of hours service to respond to emergencies and incidents.
  - Service targets were set taking into account a number of factors including emergencies.
  - The 2010 – 2016 chart of demand driven work for food safety included food alerts.

- Food sampling details stated that the cost of regional and local projects was set to allow contingencies for reacting to food alerts.
- 5.1.4 Whilst many sections in the Service Plan had identified resources required to deliver various food law enforcement activities including an overall estimate of demand driven work, there was no specific estimate in regard to Feed/Food Safety incidents resources demands.
- 5.1.5 The Plan also needed to compare the resources required to deliver the Service Plan against those available and any shortfall needed to be identified.
- 5.1.6 Estimates of resources needed to service the various functions given through the plan should be brought together and compared directly to the resources allocated and any shortfall should be identified.
- 5.1.7 Officers advised auditors that the Authority that staffing resources were sufficient resources to deliver the work detailed in the Service Plan.

### **Recommendation**

5.1.8 The Authority should:

Ensure that Service Plans include a clear comparison of the resources required to carry out the full range of statutory food law enforcement activities against the resources available to the Service. Estimates of resources needed to service the various functions given through the plan should be brought together and compared directly to the resources allocated in 4.2 of the plan. [The Standard - 3.1]

## **5.2 Incidents and Alerts**

### Environmental Health Procedures

- 5.2.1 Environmental Health had developed a documented work instruction detailing the procedure for responding to food alerts and food safety incidents. The instruction required food alerts and incidents to be entered on the Authority's computerised database and relevant documents were to be attached to files to record the Authority's response. It specified that Serious Localized Food Hazards and Non Localized Food Hazards were to be reported to the FSA.

5.2.2 The instruction included the following information;

- Details, including contact details of Lead Officers
- Arrangements for the reception of and response to Alerts received outside working hours;
- Arrangements to ensure that Food Alerts and updates were brought to the attention of an officer with authority to initiate appropriate action without undue delay;
- Arrangements to provide adequate staff resources to allow effective response to alerts;
- Arrangements to provide adequate equipment, including access to Competent Authority out of hours, to allow effective responses to be made.

5.2.3 The instruction included a flow diagram for food alerts for action (FAFA) and initiation of food safety incidents. The flow diagram for FAFAs provided for a range of action which was to be decided by the Environmental Health Manager or deputy and as follows;

- No action
- Letter drop
- Contacting premises by telephone
- Premises visits
- Referral to the Trading Standards Food Standards Team
- Issue of a press release

5.2.4 Arrangements for the liaison with other relevant bodies including neighbouring Competent Authorities, both within and outside normal hours are documented elsewhere and should be referred to in the Work Instruction.

#### Environmental Health Out of Hours Arrangements

5.2.5 The Environmental Health Manager confirmed that the out of hours arrangements for Environmental Health provided for alerts to be received via email by mobile phone. On call officers were fully competent to carry out inspections, sampling, seizures, and to obtain entry warrants if required. Officers also had access to Local Authority premises, sampling equipment, computerised records and were able to arrange out of hours submission of products for testing and storage as required.

#### Environmental Health Food Alerts

5.2.6 The Authority system was to enter all allergy alerts, alerts for information and alerts for action on the computerised system. Auditors examined records in respect of 4 food alerts for action.

- 5.2.7 Three alerts had been recorded as received via e mail and these had been issued to all members of the Environmental Health Food team via email. A request for appropriate action by the Environmental Health Manager had been included in the email. In one case there was no record of the alert.
- 5.2.8 Two alerts had been passed on to operational officers within less than an hour of being received by the Authority. Another alert had been received late on a Friday afternoon and this had been actioned by 9 am on the following Monday morning.
- 5.2.9 In one case where the alert had requested that LAs to look for products on routine inspection the LA had actually carried out additional work and had actively contacted premises where they suspected product may have been on sale. No products were found in regard to any of the alerts.
- 5.2.10 The Authority was unable to identify how many premises had been inspected in regard to the alerts or as to how long officers had continued to act on alerts. This appeared to be left to the discretion of officers. Auditors agreed that although the FLCoP stated that “where the FSA requires any actions/responses by the Competent Authority, these will be clearly specified” alerts did not indicate how long LAs should continue to act on alerts.
- 5.2.11 Action in regard to three of the alerts had been undertaken promptly and effectively in that information and instructions had been passed on to operational officers. These records were maintained and were easily retrievable. However records of actions and findings during inspections were not retrievable. It was unclear if this information could not be retrieved or it had not been recorded. It was general practice to close the alerts files once information had been distributed to officers and there was no record of the overall outcome of alerts. Auditors discussed the possible advantages of improved coding of alerts to distinguish between different types.

#### Environmental Health Notifications

- 5.2.12 Records of one food hazard notification was examined. Although not documented, the Authority had carried out an immediate assessment of the food hazard in accordance with the requirements of the Food Law Code of Practice, and liaised with the primary authority, home authority or Food Standards Agency as appropriate.
- 5.2.13 Auditors reviewed one food hygiene sample and two food hygiene complaints to assess if hazards should have been reported to the FSA. In all cases the Authority had correctly assessed the hazards which did not require reporting to the FSA.



## Trading Standards Procedures

5.2.14 Trading Standards had a documented Food Incidents and Alerts procedure dated June 2014 which stated that the procedure was to be read in conjunction with the Environmental Health work instruction for incidents and alerts and associated documents. Whilst the procedure provided useful guidance and instruction it would benefit from a further review to reflect the new Lead Officer and the review should seek to add further clarity to overall arrangements.

## Trading Standards Out of Hours Arrangements

5.2.15 The Trading Standards Incidents and Alerts procedure stated that emergency out of hours contact details are updated for out of hours arrangements. However it was unclear as to how out of hours arrangements actually worked and if fully competent officers would be available to allow an effective response if urgent action was required. The procedure and arrangements required review.

## Trading Standards Food Alerts

5.2.16 Actions arising from two alerts were examined and in one case the Authority had taken action beyond that required by the FSA in that premises had been visited. However in one case the Authority was unable to provide records demonstrating receipt of the alert and action taken by the Authority.

5.2.17 Trading Standards needed to review arrangements for the recording and documentation of responses and outcomes of food alerts to ensure it complies with the requirements of the F/FLCoP and the Framework Agreement.

## Trading Standards Notifications

5.2.18 Auditors reviewed records relating to three food hazards reported to the FSA by the Authority as food incidents.

5.2.19 In all cases the Authority had carried out an immediate assessment of the food hazard in accordance with the requirements of the Food Law Code of Practice, and liaised with the primary authority, home authority or Food Standards Agency as appropriate. Generally the authority had taken action at the earliest opportunity to protect public health.

5.2.20 Auditors also reviewed three food standards samples to assess if hazards should have been reported to the FSA. In all cases the Authority had correctly assessed the hazards and reported accordingly.

## **Recommendations**

5.2.21 The Authority should:

- i) Ensure that Environmental Health and Trading Standards document its responses to and the outcome of each alert. [The Standard 14.3]
- ii) Review its procedures for alerts and incidents to ensure that effective arrangements are in place for responding to alerts received out of hours for feed and food standards matters. [The Standard 14.1]

### **5.3 Advice to Business**

5.3.1 The Authority website provided background information in regard to incidents and alerts and access to FSA food alerts information via a website link. Links were also provided to the FSA website site to allow business or consumers to subscribe to receive alerts to personal email or mobile phones.

5.3.2 Whilst the Authority website did not provide specific advice material in regard to alerts and incidents it did link to the FSA website providing a source of further information.

5.3.3 The Authority stated that advice regarding alerts and incidents would be available to business via service requests or where business had requested information during visits/interventions.

5.3.4 The Authority had no formal Primary Authority or Home Authority Agreements in place where advice had been provided in regard to incidents and alerts.

### **5.4 Food Inspection and Sampling**

5.4.1 The Authority had developed a documented Environmental Health and Licensing Food Safety Sampling Policy which was contained in a work instruction. The policy had been developed in consultation with the Public Analyst and the Food Examiner. The instruction was marked implemented but there was no date of implementation on the instruction.

5.4.2 A Food Microbiological Sampling Procedure has also been developed which was a Work Instruction. This included a specific paragraph headed "Food Hazard Warning" stating that sampling may have to be carried out as a result of Food Alerts issued by the FSA.

- 5.4.3 Trading Standards had developed an enforcement policy guidance document for sampling and a procedure to ensure consistency of approach when sampling. Trading Standards would benefit from a review of its enforcement sampling policy guidance to broaden its scope to meet the requirements of section 8.1.1 of the FLCoP.

**Recommendation**

5.4.4 The Authority should:

Set up, maintain and implement a documented sampling policy for Trading Standards. [The Standard – 12.4]

**5.5 Enforcement**

- 5.5.1 The Authority had developed a documented Environmental Health Enforcement Policy, Trading Standards Enforcement Policy and a Corporate Enforcement Policy.
- 5.5.2 The policies identified enforcement options available to the Authority and circumstances under which they should be used. It took into account the Code for Crown Prosecutors, the Regulators Compliance Code and an Appeals mechanism. There was however no reference to the Primary authority or the Home Authority Principal.
- 5.5.3 The Authority had developed a documented work instruction for the seizure, detention and surrender of food which was dated 17/4/15.
- 5.5.4 Auditors reviewed the records of four reported enforcement actions involving both Trading Standards and Environmental Health Officers. Generally, the authority was able to demonstrate that the necessary actions had been taken and there was evidence of good liaison between teams with environmental health team applying statutory powers where necessary to remove food from sale.
- 5.5.5 In one case there was no record of notice withdrawal or product seizure following service of a detention notice served by the food hygiene team and in another case no receipt for a voluntary surrender.

**5.6 Control and Investigation of Outbreaks and Food Related Disease**

- 5.6.1 Auditors reviewed the Kent, Surrey and Sussex Public Health England Centre Outbreak/Incident Control Plan and the associated Brighton & Hove work instruction. The Control Plan had been developed in association with all relevant organisations.

- 5.6.2 The work instruction provided a practical framework within which officers could operate. However, details to facilitate a response to a serious incident or outbreak outside normal working hours were documented elsewhere. These arrangements should be referred to in the work instruction.
- 5.6.3 The Authority had confirmed that there had been no recent outbreaks of food related infectious disease recorded in the last 2 years.

#### **Recommendation**

5.6.4 The Authority should:

Review the procedure/work instruction for the investigation of outbreaks and food related disease and include arrangements to provide an effective response to incidents or outbreaks outside normal working hours documented elsewhere. [The Standard – 13.1 & 13.2]

### **5.7 Authorised Officers**

Environmental Health

- 5.7.1 The Authority had developed a documented work instruction for the authorisation of food safety officers carrying out food hygiene duties dated June 2015.
- 5.7.2 The instruction set out that all out of hours officers who could be called on to respond to a food safety incident, would have full authorisation for all level of premises inspections, the inspection, detention and seizure of foodstuffs and any sampling.
- 5.7.3 A specific section of the procedure headed “Out of Hours Cover” also stated that food safety work after normal working hours must be carried out by an officer who is authorised and competent for the work and that the Council’s Emergency Officer was supplied with a list of out of hours officers and their levels of competence.
- 5.7.4 The procedure stated that the Lead Officer for Food Safety was the Head of Regulatory Services but the Authority informed auditors that this was incorrect and the Lead Officer for Food Safety/hygiene was the Environmental Health Manager.
- 5.7.5 The qualifications, knowledge and competence required of officers to carry out a range of enforcement functions was detailed in the

instruction which included a commitment to a minimum of 10 hours food CPD per year for food officers.

- 5.7.6 The Authority had a corporate appraisal and performance system in place whereby officer development and training needs were assessed on an annual basis and reviewed at 6 month intervals and also during 1 to 1s.
- 5.7.7 Qualifications and training records for Environmental Health staff were examined and these demonstrated that officers were receiving the minimum 10 hours relevant training per annum based on the principles of continuing professional development. There was no training recorded in regard to alerts and incidents.
- 5.7.8 Checks on the legislation contained within authorisations for Environmental Health Food Officers found that officers had been appropriately authorised.

#### Trading Standards

- 5.7.9 The Authority developed a documented procedure for the authorisation of officers dated June 2014.
- 5.7.10 The most recent LAEMS return for the authority stated that the Lead Officer for Food Standards was the Trading Standards Manager however during in discussions the Authority stated that the Fair Trading Officer was the Lead Officer. The Authority also needed to appoint a Lead Officer for feed. Auditors discussed the new provisions in the FLCoP in regard to Lead Officer competencies and the need to ensure the Agency is updated in regard to the appointment of Lead Officers.
- 5.7.11 Trading Standards authorisations needed to be amended to include the Trade in Animal and Related Product Regulations 2011
- 5.7.12 Qualifications and training records for Trading Standards staff were maintained by officers and submitted to managers on an annual basis. Limited checks on records maintained by staff demonstrated that officers were receiving the minimum 10 hours relevant training per annum based on the principles of continuing professional development. There was no record of training in regard to alerts and incidents.

## **Recommendations**

5.7.13 The Authority should:

Ensure that Lead Officers have been appropriately appointed and review the authorisation of trading standards staff to ensure they are appropriately authorised under all relevant current legislation in accordance with their individual level of qualification, experience and competency to carry out the work set out in the service delivery plan.  
[The Standard – 5.2 & 5.3]

## **5.8 Reviewing and Updating Documented Policies and Procedures**

- 5.8.1 The Authority had developed a range of documented policies, procedures and work instructions which were directly and indirectly related to incidents and alerts food law enforcement activities.
- 5.8.2 Environmental Health and Licensing operated an accredited ISO 9000 quality system which included an internal auditing procedure to review the quality system including work instructions and procedures on a risk based assessment.
- 5.8.3 Auditors found that the majority of the documented procedures in place had been recently reviewed. The Enforcement Policy appeared not to have been reviewed recently however it had been subject to reviews in regard to the regulators code and equalities which had not been recorded. The food hygiene Sampling Policy was undated but officers advised this had been implemented in 2005.
- 5.8.4 Trading standards had developed a number of procedures but did not have in place a process for the review and update of policies and procedures.

## **Recommendation**

5.8.5 The Authority should:

Develop maintain and implement a control system for all procedures relating to its Trading Standards enforcement activities. [The Standard – 4.2]

## **5.9 Facilities and Equipment**

- 5.9.1 The authority's had in place a computerised software package which was capable of providing information that may be generally required by the FSA and specifically in regard to incidents and alerts.
- 5.9.2 The database, together with other electronic documents used in connection with food and feed law enforcement services, was subject to end of day back-up to prevent the loss of data.
- 5.9.3 Officers had been provided with individual passwords and access for deleting data had been restricted.

## **5.10 Food Premises Database**

- 5.10.1 Environmental Health and Licensing had a documented work instruction for the registration of food premises and updating the premises database. The Authority's prime mechanisms for maintaining the accuracy of the database were;
- Checking planning and building regulations applications to identify new businesses
  - Checking market stall applications
  - Checking licensing applications
  - Officers being responsible for specific geographic areas and identifying new businesses or change of ownership.
- 5.10.2 Information entered on the database was controlled by restricted access for deleting premises and reports were also produced highlighting any missing data which required entering.
- 5.10.3 Auditors had identified potential anomalies and inaccuracies in Food Hygiene Ratings Scheme (FHRS) data and the Authority advised it would carry out further investigation and correction of data if required.
- 5.10.4 Auditors had prior to the audit randomly selected 6 food establishments located in the authority's area from the internet. All of the food establishments had been included on the food establishments database in both the food hygiene and food standards intervention programmes.
- 5.10.5 The Trading Standards Manager held overall responsibility for the accuracy of the Trading Standards database. This work had been previously supported by a post which was now vacant. There was no written documented procedure to ensure the premises database was accurate and up to date however arrangements were in place for information to be provided by Licensing and Food Safety Teams to help maintain database accuracy.

5.10.6 Auditors discussed the FSA publication “Accurate reporting through LAEMS” as a possible source of guidance for ensuring the database was accurate reliable and up to date.

**Recommendation**

5.10.7 The Authority should:

Develop, maintain and implement a documented procedure to ensure the Trading Standards premises database is accurate, reliable and up to date. [The Standard – 11.2]

**5.11 Liaison with other Organisations**

5.11.1 The Authority had good liaison arrangements in place with officers attending the Regional Groups and having good contacts with the HMRC, Police and the FSA.

**5.12 Internal Monitoring**

5.12.1 The Authority had developed a documented work instruction for monitoring of food hygiene law enforcement activities.

5.12.2 The instruction mainly focused on monitoring the quality and nature of inspections although a flow chart marked “Ensuring consistency” in the instruction did also refer to desktop assessments of reactive work once per year with each food safety team member.

5.12.3 The Environmental Health Manager was responsible for monitoring Food Safety work although the instruction stated that it may be also carried out by a senior EHO or in the case of food sampling, the officer responsible for co-ordinating sampling activity. Monitoring records were to be completed on standard forms by the Environmental Health Manager and filed electronically.

5.12.4 The Environmental Health Manager carried out quantitative monitoring of workloads including monthly reports to the management team, and monthly 1 to 1 s with officers to monitor workloads and progress. The quantitative monitoring that was being undertaken needed to be included in the monitoring procedure.

5.12.5 Auditors were informed that there was no documented internal monitoring procedure in place for the food standards/feed law enforcement activities although the Lead Officer did shadow officers during inspections and visits and discuss consistency during 1 to 1 s with officers. Trading Standards needed to review and document its approach to internal monitoring.



## **Recommendation**

### 5.12.6 The Authority should:

Review and document its approach to internal monitoring within Trading Standards and review the Environmental Health procedure to include the quantitative monitoring undertaken. [The Standard – 19.1 & 19.2]

## **5.13 Local Authority Views on Arrangements for Incidents and Alerts**

5.13.1 At the conclusion of the audit the Authority was asked to provide some feedback on the arrangements in place for incidents and alerts at the Agency and associated statutory guidance. The following is a summary;

- Food alerts are often passive in that the LA is asked to look out for products during routine inspections and this seems to be contrary to the seriousness of the circumstances generating the alert.
- Food alerts need to be more specific especially with regards location and likely distribution.
- If the FSA want to further raise awareness of Food Incidents and Alerts with Enforcement Officers then perhaps they should consider an online training package with CPD.
- The FSA also uses a system of ENF letters to notify Authorities of issues similar to those contained in alerts.
- It is often very difficult to obtain further information from the FSA about Alerts or ENF letters
- The FSA needs to be clear in its understanding of the different powers available to Trading Standards and Environmental Health colleagues under the Food Safety Act and also the difficulties both Enforcing Authorities have in dealing with novel food ingredients which are not unsafe, merely not proven to be safe.
- The FSA will often ask that food be removed from sale and/or detained when the Food is not unsafe. Neither TS or EH have powers to do this.
- Generally ENF letters are not always received by the appropriate officer.

- Incident reports have been submitted to the FSA and other than the automatic email reply, no further acknowledgement has been received.
- We have never had a Food Incident report result in a corresponding Food Alert being issued by the FSA.
- When responding to incidents the FSA should be clear on what action if any, that they expect the Authority to take, bearing in mind the relevant powers available or not available to enforcement officers, or at least contact the submitting officer to discuss the issues and the risks involved.
- When submitting Incident Reports using the online reporting tool, the online system will not accept attachments.
- The LA was recently contacted by the FSA asking further questions about a Food Incident Report when the vast majority of the information being requested had previously been provided in the original report.

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## ANNEX A - Action Plan for Brighton and Hove City Council

Audit date: 15-16 July 2015

TO ADDRESS (RECOMMENDATION INCLUDING STANDARD PARAGRAPH)	BY (DATE)	PLANNED IMPROVEMENTS	ACTION TAKEN TO DATE
5.1.8 Ensure that Service Plans include a clear comparison of the resources required to carry out the full range of statutory food law enforcement activities against the resources available to the Service. [The Standard - 3.1]	31/12/15	Resources required to carry out the range of statutory food law enforcement activities identified in each section of the Official Feed and Food Controls Service Plan will be brought together and compared to those available in 4.2 of the plan. This will be put in place for the 2016/17 plan and continued in subsequent years.	Service Plan format now amended 14/3/16
5.2.21 (i) Ensure that Environmental Health and Trading Standards document its responses to and the outcome of each alert. [The Standard 14.3]	1/11/15	Clarification has been requested for this point.	<ul style="list-style-type: none"> <li>• Food alerts forwarded to food officers and Trading Standards manager</li> <li>• Saved in separate folder on database</li> <li>• Where action taken onto Uniform and tagged so it can be identified as an alert.</li> </ul>

5.2.21 (ii) Review its procedures for alerts and incidents to ensure that effective arrangements are in place for responding to alerts received out of hours for feed and food standards matters. [The Standard 14.1]	1/11/15	TS will explore using EH officers or colleagues from East Sussex to undertake this work	No action taken to date by TS but no out of hours alerts received
5.4.4 Set up, maintain and implement a documented sampling policy for Trading Standards. [The Standard – 12.4]	1/06/16	Trading Standards to adopt similar policy to Environmental Health.	Work started on the planned improvement.
5.6.4 Review the procedure/work instruction for the investigation of outbreaks and food related disease to provide an effective response to incidents or outbreaks outside normal working hours. [The Standard – 13.1 & 1 3.2]	01/06/16	Work instruction 05/05 to be reviewed and include reference to out of hours arrangements documented elsewhere.	

<p>5.7.13 Ensure that Lead Officers have been appropriately appointed and review the authorisation of trading standards staff to ensure they are appropriately authorised under all relevant current legislation in accordance with their individual level of qualification, experience and competency to carry out the work set out in the service delivery plan. [The Standard – 5.2 &amp; 5.3]</p>	<p>1/10/15 Ongoing  January 2016  Ongoing</p>	<ul style="list-style-type: none"> <li>• Will update FSA website to show correct Lead Officers.</li> <li>• Will review authorisations and competence twice a year at PDPs and reviews to ensure that lead officers are competent and that authorisations are up to date.</li> <li>• Service plan up dated annually and agreed by members</li> <li>• Will ensure that all actions carried out in accordance with the Code of Practice taking into account new requirements to be introduced in 2016</li> </ul>	<ul style="list-style-type: none"> <li>• Link to FSA website identified</li> <li>• Regional group Trading Standards South East provide updates to authorisations twice yearly.</li> </ul>
<p>5.8.5 Develop maintain and implement a control system for all procedures relating to its Trading Standards enforcement activities. The Standard – 4.2]</p>	<p>1/06/16</p>	<p>Trading Standards to adopt similar policy to Environmental Health.</p>	<p>Work started on the planned improvement.</p>
<p>5.10.7 Develop, maintain and implement a documented procedure to ensure the Trading Standards premises database is accurate, reliable and up to date. [The Standard – 11.2]</p>	<p>1/11/16</p>	<p>Will develop documented procedure based on EH procedure and taking into account the LAEMS guidance</p>	<p>Work started on the planned improvement.</p>

<p>5.12.6 Review and document its approach to internal monitoring within Trading Standards and review the Environmental Health procedure to include quantitative monitoring undertaken. [The Standard – 19.1 &amp; 19.2]</p>	<p>1/06/16</p>	<p>Trading Standards will set up a procedure to address internal monitoring as required by the Standards and relevant Codes of Practice.</p> <p>Work instruction 02/A/06 to be reviewed and include quantitative monitoring undertaken.</p>	<p>Work started on the planned improvement.</p>
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## **ANNEX B - Audit Approach/Methodology**

The audit was conducted using a variety of approaches and methodologies as follows:

- (1) Examination of LA plans, policies and procedures.
- (2) A range of LA file records were reviewed.
- (3) Review of Database records
- (4) Officer interviews

## **ANNEX C - Glossary**

Authorised officer	A suitably qualified officer who is authorised by the local authority to act on its behalf in, for example, the enforcement of legislation.
Codes of Practice	Government Codes of Practice issued under Section 40 of the Food Safety Act 1990 as guidance to local authorities on the enforcement of food legislation.
County Council	A local authority whose geographical area corresponds to the county and whose responsibilities include food standards and feeding stuffs enforcement.
District Council	A local authority of a smaller geographical area and situated within a County Council whose responsibilities include food hygiene enforcement.
Environmental Health Officer (EHO)	Officer employed by the local authority to enforce food safety legislation.
Feeding stuffs	Term used in legislation on feed mixes for farm animals and pet food.
Food hygiene	The legal requirements covering the safety and wholesomeness of food.
Food standards	The legal requirements covering the quality, composition, labelling, presentation and advertising of food, and materials in contact with food.
Framework Agreement	The Framework Agreement consists of:

- Food and Feed Law Enforcement Standard
- Service Planning Guidance
- Monitoring Scheme
- Audit Scheme

The **Standard** and the **Service Planning Guidance** set out the Agency's expectations on the planning and delivery of food and feed law enforcement.

The **Monitoring Scheme** requires local authorities to submit yearly returns via LAEMS to the Agency on their food enforcement activities i.e. numbers of inspections, samples and prosecutions.

Under the **Audit Scheme** the Food Standards Agency will be conducting audits of the food and feed law enforcement services of local authorities against the criteria set out in the Standard.

Full Time Equivalents (FTE)	A figure which represents that part of an individual officer's time available to a particular role or set of duties. It reflects the fact that individuals may work part-time, or may have other responsibilities within the organisation not related to food and feed enforcement.
Member forum	A local authority forum at which Council Members discuss and make decisions on food law enforcement services.
Metropolitan Authority	A local authority normally associated with a large urban conurbation in which the County and District Council functions are combined.
Service Plan	A document produced by a local authority setting out their plans on providing and delivering a food service to the local community.
Trading Standards	The Department within a local authority which carries out, amongst other responsibilities, the enforcement of food standards and feeding stuffs legislation.
Trading Standards Officer (TSO)	Officer employed by the local authority who, amongst other responsibilities, may enforce food standards and feeding stuffs legislation.



Unitary Authority

A local authority in which the County and District Council functions are combined, examples being Metropolitan District/Borough Councils, and London Boroughs. A Unitary Authority's responsibilities will include food hygiene, food standards and feeding stuffs enforcement.