

# Monitoring Procedure

*Model Procedure developed by  
the London Food Co-ordinating  
Group (Revised January 2007)*



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# Monitoring Procedure

*Date: January 2007*

## 1.0 Purpose

To ensure compliance with the requirements of the current Food Standards Agency Code of Practice, LACORS guidance and the Food Law Enforcement Standard. To have documented systems to monitor the performance and quality of food premises inspections, responses to food complaints and enquiries and other requests for service

## 2.0 Scope

This management and monitoring system applies to all food hygiene and standards inspections and subsequent actions, to all food related service requests and to all officers undertaking work whether Council employees or agency staff.

## 3.0 Responsibilities

The Local Authority should insert the job titles of those who are responsible for implementing this procedure.

## 4.0 References

- Framework Agreement on Local Authority Food Law Enforcement- The Food Standards Agency.
- Food Safety Act 1990: Code of Practice (Revised March 2006)
- LACOTS Monitoring Systems-June 1995.
- LACOTS Guidance on Food Complaints (2) 1998.
- Food Standards Agency-Audit Checklists (accessed via the internet).
- Local Authorities may wish to cross refer to any relevant in-house procedures.

## 5.0 Procedure

### 5.1 Performance of Programmed Food Hygiene & Standards Inspections

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5.1.1 Programmed food hygiene and food standards inspections are allocated to Officers by *(LA to state method and who does this function commonly. Is this done via monthly or quarterly allocation or workload meetings?)*. Programmed inspections will be prioritised on the basis of risk with A's, B's and C's food hygiene premises and A's and B's food standards premises (as set out in the Code of Practice) taking priority.

5.1.2 The *(position of person responsible)* will check programmed inspections due against those carried out on a *(frequency-commonly monthly)* basis. Performance against programmed inspection targets will be reported to *(title of Senior Manager/Committee)* on a *(frequency-usually quarterly)* basis. The report will identify any shortfall from the programmed inspections due.

5.1.3 The Authority may wish to insert a section here detailing how they will deal with any shortfall in the performance of programmed inspections.

## **5.2 Quality of Programmed Inspections**

*There are a number of different ways that the quality of inspections can be monitored. We suggest that all or a combination of the following be adopted by Authorities. As a minimum we feel that the assessment should look at actual visits carried out (recommended minimum of 2 assessed inspections per inspector per year) AND detailed assessment of post inspection paperwork and enforcement decisions. All assessments should be spread out throughout the year-they should not all be done in one go as this will not provide effective ongoing monitoring.*

### **5.2.1 Validation Inspections**

*(We think this is likely to be the most effective way of assessing inspection quality. However, it is recognised that some authorities may experience practical difficulties in carrying out inspections e.g. co-operation of businesses and available resources).*

5.2.1.1 Validation inspections will be carried out by *(insert title)*. They will be carried out X times/year for each inspecting officer. This will be carried out without notice to the inspecting officer. The monitoring will be spread evenly throughout the year.

5.2.1.2 The validation inspection will be carried out within two weeks of the initial inspection. The validating officer will assess whether or not the inspecting officer complied with the inspection procedure and if they adequately identified contraventions of legislation. An assessment of the post inspection paperwork and follow up action will also be carried out.

5.2.1.3 The outcome of the validation inspection assessment will be recorded on form MON1 (see Appendix).

5.2.1.4 Feedback on the outcome of all validation inspections will be given to the inspecting officer by *(title and method of feedback to be inserted here)*. *(It is advised that provisions for recording the feedback are noted here-will be down to each LA).*

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### **5.2.2 Accompanied Inspections**

*(a lot of authorities do this rather than validation inspections-Authorities may wish to do a combination of validation and accompanied inspections).*

5.2.2.1 Accompanied inspections will be carried out by *(insert title)*. They will be carried out X times/year for each inspecting officer. The inspecting officer will be given notice of the accompanied inspection. The monitoring will be spread evenly throughout the year.

5.2.2.2 The accompanying officer will assess whether or not the inspecting officer complied with the inspection procedure and if they adequately identified contraventions of legislation. An assessment of the post inspection paperwork and follow up action will also be carried out.

5.2.2.3 The outcome of the accompanied inspection will be recorded on form MON1 (see Appendix).

5.2.2.4 Feedback on the outcome of all accompanied inspections will be given to the inspecting officer by *(title and method of feedback to be inserted here)*. *(It is advised that provisions for recording the feedback are noted here-will be down to each LA).*

### **5.3 Post Inspection Paperwork**

*In addition to visits to assess inspection quality it is recommended that additional detailed checks are made and recorded to assess the adequacy of the post inspection paperwork. The frequency of these additional checks is for the authority to determine (procedures seen range from 2/officer/yr through to 10% of all inspections). Separate checklists have been developed for the verification of letters, improvement notices and emergency prohibition notices. The authority may choose that for EPNs/voluntary closures every file is vetted.*

5.3.1 Paperwork monitoring will be carried out by *(insert title)*. They will be carried out X times/year for each inspecting officer. All files where EPNs are served will be monitored. The inspecting officer will not be given notice of the monitoring. The monitoring will be spread evenly throughout the year and be carried out within one month of the inspection having been conducted.

5.3.2 The monitoring officer will assess whether or not the inspecting officers inspection paperwork and any follow up correspondence complies with in house standards and current codes of practice.

5.3.3 The outcome of the paperwork monitoring will be recorded on form MON 3A(see appendix).

5.3.4 Feedback on the outcome of all paperwork monitoring will be given to the inspecting officer by *(title and method of feedback to be inserted here)*. *(It is advised that provisions for recording the feedback are noted here-will be down to each LA).*

### **5.4 Food Related Service Requests**

5.4.1 Food related complaint monitoring will be carried out by *(insert title)*. They will be carried out X times/year for each investigating officer. The

investigating officers will not be given notice of the monitoring. The monitoring will be spread evenly throughout the year and be carried out within one month of the inspection having been conducted.

5.4.2 The monitoring officers will assess whether or not the officer's file, investigation and any correspondence complies with in house standards and current codes of practice.

5.4.3 The outcome of the monitoring will be recorded on form MON4 (see appendix).

5.4.4 Feedback on the outcome of all paperwork monitoring will be given to the inspecting officer by *(title and method of feedback to be inserted here)*. *(It is advised that provisions for recording the feedback are noted here-will be down to each LA)*.

## 5.5 Team Meetings

5.5.1 Team meetings will be used to communicate overall findings of routine monitoring so that any widespread problems can be addressed.

5.5.2 The *(insert job title)* will use the team meeting to discuss areas where inconsistency may arise and will monitor the application of legislation on a more informal basis.

## 6.0 Areas not covered by the procedure

Areas not covered by this procedure that are required by the Framework Agreement include:-

- Registration
- Database maintenance
- Sampling
- Seizure & Detention
- Approved Premises
- Feeding stuffs enforcement
- Food Safety Incidents
- Infectious Disease Control

## 8.0 Contacts

- **ALEHM**  
Keith Hill (Secretary)  
Tel: 07917 025494  
Email: [alehm.sec@btinternet.com](mailto:alehm.sec@btinternet.com)

- **London Food Co-ordinating Group**

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Rick Mason  
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- **SW Sector Co-ordinator**

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LB Sutton

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- **NW Sector Co-ordinator**

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- **SE Sector Co-ordinator**

Beryl Morgan

LB Southwark

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- **NE Sector Co-ordinator**

Mark Stanbury

LB Newham

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**VALIDATION INSPECTION MONITORING FORM (MON1)**

**Inspecting Officer:**

**Monitoring Officer:**

**Address of premises:**

**Type of premises:**

**Date of initial inspection:**

**Date of validation inspection:**

	Satisfactory	Comments
Did the Officer identify the main contraventions of food hygiene and food standards legislation?		
Was the follow-up action taken by the Officer appropriate to the standards on the premises?		
Were the risk assessments for the premises (hygiene & standards) appropriate?		
<b>Section 2-Enforcement Policy Monitoring</b>		
Did the enforcement action taken comply with the Division's Enforcement Policy?		

**Monitoring officer signature:**

**Date:**

**Inspecting officer signature:**

**Date:**

**Food manager comments & signature:**

**Date:**

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**INSPECTION QUALITY AUDIT REPORT (MON2)**

**Inspecting Officer:**

**Monitoring Officer:**

**Address of premises:**

**Type of premises:**

**Date of audit:**

**Date of Inspection:**

**Original Risk Rating:**

**PART1 – INSPECTION PLANNING (Hygiene & Standards)**

	Done (Y/N)	Comments
What <u>existing</u> records were examined prior to visit?		
Previous inspection rating		
Food premises registration		
Complaints since last inspection		
Documented FSM system compliance		
Previous inspection outcomes		
Last inspection file record		
Date due for inspection		

**PART 2 – PRELIMINARY INTERVIEW (Hygiene & Standards)**

	Done (Y/N)	Comments
What introductions were made?		
Full self-introduction made		
Authority to enter shown		
Purpose of visit explained		

	Done (Y/N)	Comments
Preliminary discussion with the proprietor/manager. Did the officer:		
Confirm details of ownership, management and staff		
Identify all food related activities, parts of premises		

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used, and the scope and scale of the business

Identify the customer base of the business

Discuss the proprietors understanding of the hazards and necessary controls

Discuss food safety management system

Assess training, instruction and supervision received by the staff

Examine relevant documents


**PART 3 – PHYSICAL INSPECTION  
(Hygiene & Standards)**

Equipment/protective clothing used?

Appropriate protective clothing worn

Appropriate inspection equipment available

Done (Y/N)	Comments

Scope of Inspection.

Did the officer:

**HYGIENE ISSUES**

Identify the main hazards

Check on adequacy of controls, monitoring at CCPs and documentation

Check that training, instruction or supervision were adequate

Identify significant contraventions

Establish if business compliant with Article 5

**STANDARDS ISSUES**

Establish the scope of the business and determine the relevant standards issues that arise?

Done (Y/N)	Comments

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Look at the labelling, advertising or promotion of food (including claims etc)?

Look at the quality/other systems on site used to ensure the standard of the food?

**GENERAL**

Correctly assess whether or not food samples needed to be taken

Make adequate records of findings

Closing meeting with manager/proprietor. Did the officer:

Discuss inspection findings with appropriate person

Clearly identify and differentiate contraventions and recommendations

Discuss any hazards not covered by the business's safety systems

Discuss any failure to implement controls or monitoring at CCP's

Examine and discuss documented FSM system

Discuss and agree solutions, options and timescales

Discuss proposed follow up action by officer

<b>Done (Y/N)</b>	<b>Comments</b>

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REVIEW OF MONITORING VISIT

Comments of accompanying officer:

Corrective action necessary:

Monitoring officer signature:

Date:

Inspecting officer signature:

Date:

Food manager comments:

Food Manager signature:

Date:

**POST INSPECTION LETTERS/PAPERWORK MONITORING FORM (MON3A)**

Inspecting Officer:

Monitoring Officer:

Address of premises:

Reference number of notice served:

Date notice served:

	Satisfactory?	Comments
<b>Section 1- Post Inspection Administration</b>		
Was the risk assessment rating correct?		
Was the risk rating entered on the database?		
Was any updated information on the premises entered on the database?		
Were all actions taken entered on the database?		
<b>Section 2-Post Inspection Letters</b>		
Was the letter sent to the proprietor within (x) days of the inspection?		
Was the content & presentation of the letter satisfactory?		
Did the letter include a timescale for carrying out the work?		
Were the legislation references correct?		
Were requirements and recommendations clearly differentiated?		
Was relevant support material sent/referenced?		
Was the letter filed/saved in the appropriate location?		
<b>Section 3-Follow up Action</b>		
Was a revisit carried out where appropriate?		

Was the data relating to the revisit recorded in the file and on the database?		
<b>Section 4-Enforcement Policy Monitoring</b>		
Did the use of the letter/revisit comply with the Division's Enforcement Policy?		

**Monitoring officer signature:** \_\_\_\_\_ **Date:** \_\_\_\_\_

**Inspecting officer signature:** \_\_\_\_\_ **Date:** \_\_\_\_\_

**Food manager comments & signature:** \_\_\_\_\_ **Date:** \_\_\_\_\_

**IMPROVEMENT NOTICES MONITORING FORM (MON3B)**

Inspecting Officer:

Monitoring Officer:

Address of premises:

Reference number of notice served:

Date notice served:

	Satisfactory?	Comments
<b>Section1- Pre-service Procedures (where signed to enforcement concordat)</b>		
Was a notification of the intention to serve the notice given?		
Was the proprietor given an opportunity to discuss this intention?		
Was the managers contact details given to the proprietor?		
Was there a timely progression from the advising of the intention to the service of the notice?		
<b>Section 2-Content of the Improvement Notice</b>		
Was the signing officer authorised to serve improvement notices?		
Did the signing officer witness the contravention?		
Was the notice served on the proprietor(s)?		
Was the proprietors' full name on the notice?		
Were the reasons for contravention specified, clear and easily understood?		
Were the measures to be taken to comply specified, clear and easily understood?		
Did the wording reflect LACORS & other guidance?		

Was a clear time limit specified (min 14 days)?		
Had Liaison with the appropriate Home Authority occurred?		
Was there an indication of works to the equivalent effect?		
Was there evidence of proper service?		
Was there a timely check on compliance?		
Was appropriate follow up action taken?		
Was a time extension granted?		
If so was it confirmed in writing?		
Was a letter sent confirming compliance?		
<b>Section 3-Enforcement Policy Monitoring</b>		
Did the service of the notice comply with the Division's Enforcement Policy?		

**Monitoring officer signature:** \_\_\_\_\_ **Date:** \_\_\_\_\_

**Inspecting officer signature:** \_\_\_\_\_ **Date:** \_\_\_\_\_

**Food manager comments & signature:** \_\_\_\_\_ **Date:** \_\_\_\_\_

**EMERGENCY PROHIBITION PROCEDURES MONITORING FORM (MON3C)**

Inspecting Officer:

Monitoring Officer:

Address of premises:

Reference number of notice served:

Date notice served:

	Satisfactory?	Comments
<b>Section 1- Voluntary Closure</b>		
Was the decision to accept voluntary closure appropriate?		
Was it confirmed in writing with the proprietor?		
Was the premises visited to confirm it stayed closed?		
Was appropriate follow up action taken where VC was breached?		
<b>Section 2- Emergency Prohibition Notice</b>		
Was the signing officer authorised to serve EPNs?		
Did the circumstances warrant the service of and EPN?		
Was the EPO application notified to the proprietor min 1 day before the hearing?		
Were monitoring visits made to the premises?		
Was the last visit less than 1 day before the hearing?		
When the proprietor applied for a lifting of the order was a response made within 14 days?		
Was the certificate lifting the EPO issued ASAP & within 3 days.		
Notification of continuing risk to health served ASAP & where appropriate?		
Premises reprogrammed for 6 month inspection of EPO being lifted?		

Was appropriate follow up action taken where EPN/O was breached?		
Section 3-Enforcement Policy Monitoring		
Did the service of the notice comply with the Division's Enforcement Policy?		

**Monitoring officer signature:** \_\_\_\_\_ **Date:** \_\_\_\_\_

**Inspecting officer signature:** \_\_\_\_\_ **Date:** \_\_\_\_\_

**Food manager comments & signature:** \_\_\_\_\_ **Date:** \_\_\_\_\_

**FOOD COMPLAINT MONITORING FORM (MON4)**

Investigating Officer:

Monitoring Officer:

Address of premises:

Complaint reference/details:

Date complaint received:

	Satisfactory	Comments
<b>Section 1-Complaint Investigation</b>		
Was appropriate information gathered when the complaint was received?		
Was an appropriate investigation carried out?		
Was the food sent for analysis/examination as needed?		
Were the retailers, suppliers, manufacturers or importers contacted, as appropriate?		
Was the Single Liaison Body contacted, if needed?		
Was the FSA contacted, if needed?		
Was the outcome of the investigation confirmed with the supplier etc ?		
Was the outcome of the investigation confirmed with the complainant?		
<b>Section 2-Enforcement Policy Monitoring</b>		
Did the enforcement action taken comply with the Division's Enforcement Policy?		

Monitoring officer signature:

Date:

Investigating officer signature:

Date:

Food manager comments & signature:

Date