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Multi-Annual National Control Plan for the United Kingdom

April 2019 to March 2023

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Chapter 1 - Introduction

Background and purpose

- 1.1 The single integrated United Kingdom Multi-Annual National Control Plan (UK MANCP) has been prepared in accordance with the requirements of [Regulation \(EC\) No 882/2004](#) on official controls performed to ensure the verification of compliance with feed and food law, animal health and animal welfare rules. It provides general information on the structure and organisation of the official control systems in place for feed and food law and also animal health (including aquatic animals and bee health) and animal welfare rules. The scope also extends to plant health controls in accordance with [Council Directive 2000/29/EC](#) on protective measures against the introduction into the Community of organisms harmful to plants or plant products and against their spread within the Community.
- 1.2 The MANCP has been prepared jointly by the:
 - Food Standards Agency (FSA)
 - Food Standards Scotland (FSS)
 - Department for Environment, Food and Rural Affairs (Defra) and its agencies
 - Department of Health and Social Care (DHSC)
 - Chemicals Regulation Directorate of the Health and Safety Executive (HSE)
 - Scottish Government Agriculture and Rural Economy Directorate (SG ARE)
 - Welsh Government Environment, Energy and Rural Affairs (WG EERA)
 - Department of Agriculture, Environment and Rural Affairs in Northern Ireland (DAERA)
- 1.3 This MANCP was extended in 2018 and is now updated and extended until March 2023. There will be a review and revision during 2020 so that anticipated significant administrative and legislative changes that will impact on the MANCP, can be reflected. This includes, for example, application of the new [Official Controls Regulation \(EU\) 2017/625](#) that replaces Regulation (EC) No 882/2004.
- 1.4 The MANCP, together with Annual Reports on its implementation, provide the basis for assessment of the effectiveness of performance of the UK control systems by Directorate General for Health and Food Safety (DG Sante) of the European Commission.
- 1.5 Acronyms and abbreviations are used throughout this document. For ease of reference, refer to [Appendix S](#).
- 1.6 Whilst care has been taken to ensure that the web links contained in the MANCP are correct at the time of publication, changes may occur. We will review and update the links on a regular basis.

Management of the review and reporting process

- 1.7 The UK's MANCP is reviewed annually. The process for review and reporting against the plan is managed by a cross-departmental project. The FSA as lead government department for matters relating to Regulation (EC) No 882/2004, co-ordinates the overall project, but works closely with all relevant departments including devolved administrations.
- 1.8 Annual progress reports on implementation of the UK's MANCP are prepared and sent to the Commission. They are posted on the [FSA website](#) to ensure transparency about the control activities undertaken in the UK and how they are met.

Contact for information on the MANCP

- 1.9 For information on the UK MANCP and the Annual Reports contact:
Matthew Dick
Regulatory Compliance Division
Food Standards Agency
Email: mancp@food.gov.uk

Chapter 2 – National Strategic Objectives

Overall objectives of the MANCP

- 2.1 The principal objectives of the UK MANCP are in line with those in Regulation (EC) No 882/2004 and set out:
- the organisation and structure of the competent authorities (CAs)
 - how the UK monitors and verifies compliance with feed and food law
 - how the UK monitors and verifies compliance with animal health and animal welfare law
 - how the UK monitors and verifies compliance with plant health law and
 - the strategy and objectives of the CAs.
- 2.2 In meeting these objectives the UK follows the principles of good regulation, which is to be proportionate, accountable, consistent, transparent and targeted. We take the UK government [Regulators' Code](#) (which applies in England and Wales) into account. We follow the devolved administrations' principles of better regulation aimed at improving regulation and enforcement in Scotland, Wales, and Northern Ireland. In Scotland, FSS must have due regard to the Scottish Government's five principles of better regulation to be proportionate, consistent, accountable, transparent, and targeted, and [the Scottish Regulators' Strategic Code of Practice](#) in fulfilling its regulatory functions.

Strategic objectives

Food Standards Agency (FSA)

- 2.3 The FSA has responsibility at central government level for the main body of feed and food safety law in England, Wales and Northern Ireland. The FSA, other government bodies and local authorities have responsibility for monitoring and verifying compliance and for enforcing feed and food safety requirements.
- 2.4 The FSA's [regulatory approach](#) provides information on how it meets responsibilities under the Governments' regulatory framework.
- 2.5 The [FSA's strategy for 2015-2020](#), 'Food We Can Trust', renewed the pledge to put consumers first in everything it does. The strategic outcomes against which the impact of the strategy will be measured are - food is safe; food is what it says it is; and consumers can make informed choices about what to eat, and have access to an affordable healthy diet, now and in the future. The FSA's key targets are included in the [FSA's Strategic Plan](#).
- 2.6 The FSA's Regulating Our Future programme aims to modernise how food businesses in England, Wales and Northern Ireland are regulated to ensure food is safe and what it says it. The aim is to ensure that we have a system that is dynamic, flexible and can adapt as circumstances change and technology develops in the future. The strategic direction for the programme is set out in ['Regulating our](#)

[future: Why food regulation needs to change and how we are going to do it](#). In October 2018 an update on progress - [‘Changing food regulation- what-we’ve done - where-we-go-next](#), was published.

Food Standards Scotland (FSS)

- 2.7 FSS was established on 1 April 2015 as the national food body for Scotland, with responsibility for those central government functions previously carried out by the FSA in Scotland, including feed and food safety and standards, nutrition, food labelling, and meat inspection policy and delivery.
- 2.8 The [FSS Strategy to 2021](#), Shaping Scotland’s Food Future, sets out its vision to create a food and drink environment in Scotland that benefits, protects and is trusted by consumers. This establishes six strategic priorities:
- food is safe
 - food is authentic
 - consumers have healthier diets
 - responsible food businesses flourish
 - FSS is a trusted organisation
 - FSS is efficient and effective
- 2.9 A key focus of the [FSS Regulatory Strategy](#) is to ensure that food regulation in Scotland is proportionate, targeted and risk based, aligning with better regulation principles and the Scottish Regulators’ Strategic Code of Practice, and that feed and food official control systems are sustainable, responsive and robust.

Department for Environment, Food and Rural Affairs (Defra)

- 2.10 Defra is responsible for animal health and welfare law in England and for policy and regulations on environmental, food and rural issues and international trade. Defra has overall responsibility for plant health law, but the devolved administrations and Forestry Commission make their own legislation.
- 2.11 Defra’s strategic objectives for [‘a green and healthy future](#)’ include:
- delivering a safe and ambitious departure from the European Union, setting global standards in protecting and harnessing value from the natural environment
 - being an outstanding organisation focused on making a difference, with world class delivery capability
 - passing on to the next generation a natural environment protected and enhanced for the future
 - leading the world in food, farming and fisheries with a sustainable model of food production
- 2.12 Defra’s [annual report and accounts for 2017-2018](#) shows progress in delivering Defra’s priorities alongside the planned expenditure for 2017-2018.

Department of Health and Social Care (DHSC)

2.13 [DHSC](#) has central government responsibility for nutrition-related food legislation in England.

Devolved administrations

2.14 The devolved administrations are the competent authorities for their countries on feed and food legislation, animal health, animal welfare and plant health law. Their objectives tie in with those of the [SG ARE](#), [WG EERA](#) and [DAERA](#).

Chapter 3 - Competent Authorities, National Reference Laboratories and Delegated Bodies

Division of responsibility for official controls

3.1 Responsibility within the UK for official controls is divided between different authorities.

Feed and food

3.2 Overall responsibility for feed and food law is held centrally, but day-to-day responsibility for official control functions is divided between central and local government. The central competent authorities are the:

- FSA
- FSS
- Defra and its agencies
- DHSC
- Agriculture/Rural Affairs departments in the devolved administrations (the SG ARE, the WG EERA and DAERA)

At local level, day-to-day monitoring and enforcement of feed and food law are carried out by other competent authorities:

- Local authorities
- Defra agencies
- FSA and FSS for GB approved slaughterhouses and cutting plants
- DAERA in Northern Ireland

The division of responsibility is summarised in [Figure 1](#) and [Figure 2](#).

Animal health and animal welfare

3.3 Responsibility for animal health and animal welfare control is held centrally by:

- Defra and its agencies
- equivalent central departments in the devolved administrations

At local level, day-to-day monitoring and enforcement are carried out by:

- central departments (or their agencies or contracted agencies)
- local authorities
- DAERA in Northern Ireland

The division of responsibility is summarised in [Figure 3](#).

Plant health

- 3.4 Responsibility for plant health control lies with the UK Plant Health Services which includes units from within:
- Defra
 - Animal and Plant Health Agency (APHA)¹
 - Agriculture/Rural Affairs/Natural Resources departments in the devolved administrations
 - [Forestry Commission](#) (England) and [Forestry Commission Scotland](#)
 - Natural Resources Wales
 - DAERA, Forest Service in Northern Ireland

The division of responsibility is summarised in [Figure 4](#).

Designation of competent authorities

- 3.5 Details of the legislation designating the competent authorities can be found at [Appendix A](#).

Central authorities for feed, food, animal health and animal welfare

Food Standards Agency

- 3.6 The FSA was established by the [Food Standards Act 1999](#). It has responsibility for protecting public health from risks that may arise with the consumption of food, and to protect the interests of consumers in all matters of food. This also includes wide-ranging responsibilities on animal feed.
- 3.7 The FSA is a non-ministerial government department. It is accountable to the Westminster Government through the Secretary of State for Health and Social Care and to the National Assembly for Wales and Northern Ireland Assembly through their health ministers or equivalents.
- 3.8 The FSA is governed by a [Board](#) appointed to act in the public interest. The Board is responsible for overall strategic direction, ensuring legal obligations are fulfilled and that decisions and actions take account of scientific advice and the interests of consumers and other stakeholders. Day-to-day operations are managed by the Chief Executive and FSA staff, who are civil servants.
- 3.9 The Food Standards Act gives the FSA statutory powers to deliver national priorities and objectives, such as setting performance standards for enforcement of feed and food law and monitoring and auditing performance of enforcement authorities against the standards. It gives FSA the powers to require local authorities to provide information on feed and food law monitoring and enforcement. FSA may enter feed

¹ Diagnostic services for APHA's work is undertaken principally by Fera Science Ltd.

and food premises under local authority control to inspect records and take samples.

- 3.10 The FSA in Wales and Northern Ireland provide advice to their respective health ministers on feed and food safety policy and legislation. A statutory Food Advisory Committee in each country ([Wales](#) and [Northern Ireland](#)) provides the FSA with independent advice on feed and food safety issues.

Food Standards Scotland

- 3.11 FSS was established on 1 April 2015 by the [Food \(Scotland\) Act 2015](#). The statutory objectives of FSS are to protect the public from risks to health which may arise in connection with the consumption of food, to improve the extent to which members of the public have diets which are conducive to good health, and to protect the other interests of consumers about food.
- 3.12 FSS is a non-ministerial office of the Scottish Administration, working alongside, but separate from, the Scottish Government. FSS is independent from Scottish ministers and is directly accountable to the Scottish Parliament. FSS is governed by a [Board](#) appointed by Scottish ministers. The Board is responsible for providing FSS with overall strategic direction, oversight and governance. FSS is managed by a Chief Executive, a civil servant appointed by Scottish ministers, and FSS staff who are also civil servants.
- 3.13 The Food (Scotland) Act 2015 gives FSS the statutory powers required to perform its general functions specified in the Act, including monitoring the performance of enforcement authorities in enforcing feed and food legislation and setting performance standards. FSS is required to include in each annual report a report on its own enforcement activities and may make a report to any other enforcement authority on their performance in enforcing feed and food legislation in Scotland with guidance on improving performance where appropriate.
- 3.14 In Scotland the Scottish Government Animal Health and Welfare Division (SG AHW) carries out on-farm enforcement of feed and food hygiene regulations at egg production units. The Scottish Government Rural Payments and Inspections Division (SG RPID) carries out farm enforcement of feed and food hygiene at other holdings at the same time as they carry out cross-compliance inspections (1% per year).
- 3.15 The SG RPID and SG AHW functions are set out in a memorandum of understanding (MoU) which is reviewed annually. Management of the MoU rests with the Senior Agricultural Officers (within SG RPID and SG AHW for their respective areas of responsibility) and FSS.

Figure 1 - Division of responsibility for official food controls

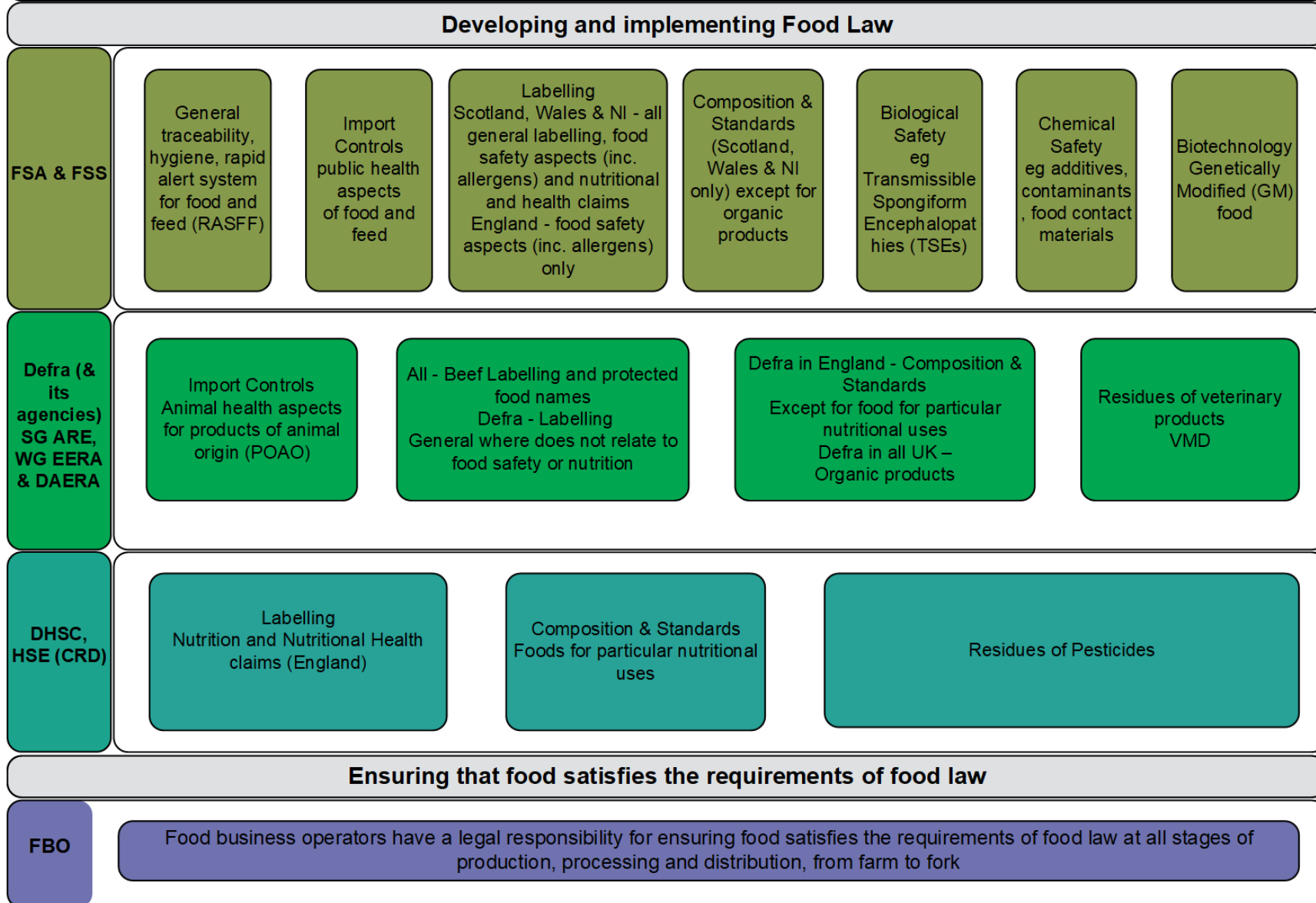


Figure 1 continued – Division of responsibility for official food controls

Official controls in respect of food law					
Central Level			Local level		
<p>FSA or FSS <i>(for all aspects as they relate to Scotland)</i></p> <ul style="list-style-type: none"> • Inspection and approval of food irradiation facilities • Approval of fresh meat establishments • Classification & monitoring of shellfish harvesting areas • Hygiene controls – fresh meat • Specified Risk Material (SRM) and other TSE controls in approved slaughterhouses and cutting plants • Bovine Spongiform Encephalopathy (BSE) controls on behalf of GB Administrations • Recognition of natural mineral waters from non-EEA countries in Scotland, Wales and NI • On farm dairy hygiene controls and registration of a milk production holding (England and Wales) 	<p>Defra (on UK-wide basis)</p> <ul style="list-style-type: none"> • Organisation of protected food names scheme • Overseeing system for certification of organic produce • Policy on beef labelling system • Recognition in England of natural mineral waters from non-EEA countries <p>VMD</p> <ul style="list-style-type: none"> • Veterinary medicine drug residue surveillance <p>RPA</p> <ul style="list-style-type: none"> • Beef labelling for England & Wales <p>HSE (CRD)</p> <ul style="list-style-type: none"> • Pesticide residue monitoring and enforcement 	<p>DAERA (on behalf of FSA)</p> <ul style="list-style-type: none"> • Hygiene controls for primary production • Hygiene controls for fresh meat, milk production • Registration of a milk production holding <p>DAERA</p> <ul style="list-style-type: none"> • SRM controls • BSE testing • Beef labelling 	<p>SG ARE</p> <ul style="list-style-type: none"> • Beef labelling • Primary production inspections <p>APHA/SG ARE (on behalf of FSA)</p> <p>Hygiene controls – egg production units</p>	<p>Local and port health authorities in England Wales & NI</p> <ul style="list-style-type: none"> • Official controls and enforcement of the main body of food law, including imported food controls (all food law except that enforced by the central Departments and their agencies) 	<p>Local authorities in Scotland</p> <ul style="list-style-type: none"> • Official controls and enforcement of the main body of food law, including imported food controls (all food law except that enforced by the central Departments and their agencies) • Hygiene controls at milk production holdings

Figure 2 - Division of responsibility for official feed controls

Developing and implementing feed law

FSA & FSS

- General – traceability, rapid alert system (RASFF), official controls
- Import controls
- Labelling
- Composition and standards
- Biological safety – eg feed hygiene
- Chemical safety – prohibited and undesirable substances
- Biotechnology – GM feed
- Salmonella

Defra (& its agencies), HSE (CRD), SG ARE, WG EERA & DAERA

- Animal by-products
- Feed ban
- Medicated feed
- Chemical safety
- Specified feed additives

Ensuring that feed satisfies the requirements of feed law

Feed business operators have a legal responsibility for ensuring feed satisfies the requirements of food law at all stages of production, processing and distribution, from farm to feed trough (over 200,000 businesses in the UK – this includes farms)

Official controls in respect of feed law

Central level

VMD

- Medicated feed
- Specified feed additives
- Veterinary medicine drug residue surveillance

SG RPID

- Primary production feed hygiene controls on behalf of the FSA

APHA

- Animal protein in feed ban

DAERA

- All feed law controls in Northern Ireland

Local level

LAs in England & Wales

- Official controls and enforcement of the main body of feed law, including imported feed
- All feed law not enforced by Defra and its agencies

LAs in Scotland

- Official controls and enforcement of the main body of feed law, including imported feed
- All feed law not enforced by SGRPID or Defra or its agencies

Figure 3 - Division of responsibility for official animal health and welfare controls

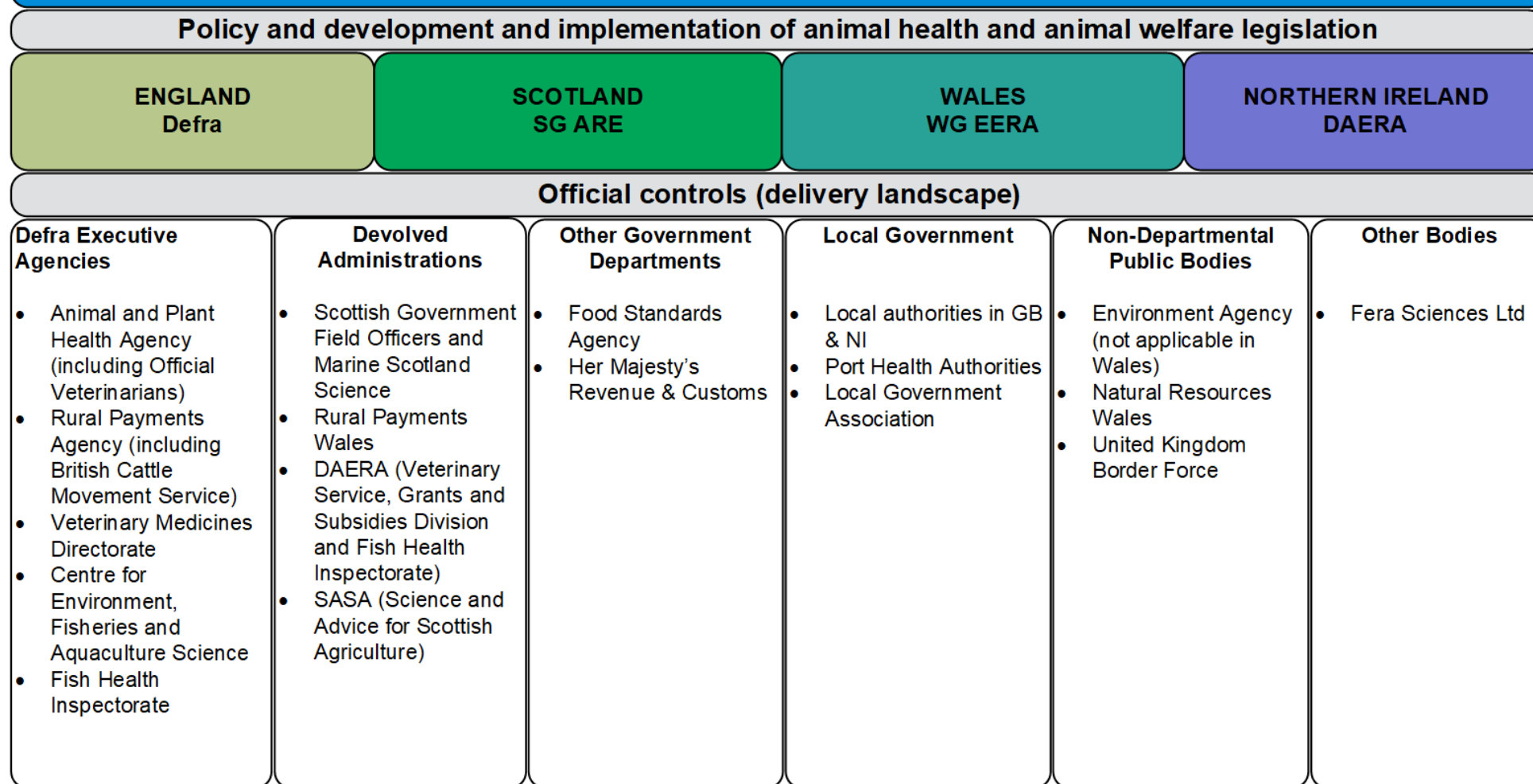
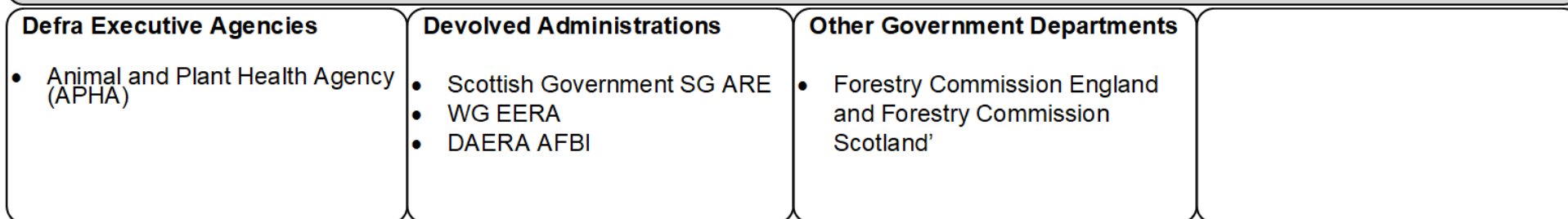


Figure 4 - Division of responsibility for plant health controls

Policy and development and implementation of plant health legislation



Official controls (delivery landscape)



Department for Environment, Food and Rural Affairs

- 3.16 Defra is the central competent authority (CCA) for animal health and welfare in England and is responsible for policy and regulations on environmental, food and rural issues. Although Defra works directly in England, it also works closely with the devolved administrations in Scotland, Wales and Northern Ireland, and leads for the UK on negotiations in the EU and internationally.
- 3.17 Defra represents the position of the UK Plant Health Risk Group on plant quarantine and plant certification policy. It leads for the UK in international fora and is the Single Central Authority for plant health under EU legislation.
- 3.18 Defra is structured around six director-general commands responsible for policy, science and regulations on environmental, food and rural issues.
- 3.19 Defra is supported by 33 agencies and public bodies. The key partners with an interest in food safety, animal health and welfare and plant health are:
- [Animal and Plant Health Agency](#)
 - [Rural Payments Agency](#)
 - [Centre for Environment, Fisheries and Aquaculture Science](#)
 - [Veterinary Medicines Directorate](#)
- 3.20 In addition to these agencies, the following bodies also work in partnership with Defra:
- local authorities
 - the Pirbright Institute
 - National Fallen Stock Company
 - FSA
 - FSS
 - HSE
 - Farm Animal Welfare Committee

Devolved administrations

Scottish Government (SG)

- 3.21 The SG is the devolved body for Scotland established in 1999. A first minister leads the government. Civil servants in Scotland are accountable to Scottish ministers, who are in turn accountable to the Scottish Parliament.
- 3.22 The purpose of the government in Scotland is to focus on creating a more successful country, with opportunities for all of Scotland to flourish, through increased wellbeing and sustainable and inclusive economic growth. This purpose is underpinned by 11 National Outcomes which, in turn, are supported by 81 National Indicators, as described in the National Performance Framework.

3.23 The SG is responsible for the following areas in Scotland: the economy, education, health, justice, rural affairs, housing, environment, equal opportunities, consumer advocacy and advice, transport and taxation. The ministerial portfolio is divided between two Cabinet Secretaries; the Cabinet Secretary for Environment, Climate Change and Land Reform and Cabinet Secretary for the Rural Economy. They are supported by the Minister for Rural Affairs and the Natural Environment. A concordat sets out agreed frameworks for co-operation between the SG and Defra.

Welsh Government (WG)

3.24 The WG is a devolved government body that decides on its priorities and allocates the funds made available to it by the UK government. Powers devolved to the WG include: health; education; economic development; planning; culture; and animal health and welfare. Within its powers, the WG develops policy and the National Assembly for Wales (NAW) passes legislation for Wales.

3.25 The WG's Economy, Skills and Natural Resources Department (ESNR) covers subject matters what include managing Wales' natural resources sustainably, economic development, tourism, supporting the management and competitiveness of its agriculture and food sectors, ensuring the health and welfare of animals, overseeing Wales' planning system and implementing sustainable development policy.

3.26 In addition, the Health and Social Services department has responsibility for food safety and the fluoridation of drinking water in Wales and oversight of the FSA in Scotland.

Department of Agriculture, Environment and Rural Affairs (DAERA)

3.27 DAERA has responsibility for food, farming, environmental, fisheries, forestry and sustainability policy and the development of the rural sector in Northern Ireland. DAERA assists the sustainable development of the agri-food, environmental, fishing and forestry sectors of the Northern Ireland economy, having regard for the needs of the consumers, the protection of human, animal and plant health, the welfare of animals and the conservation and enhancement of the environment. In NI, DAERA is responsible for monitoring the enforcement of animal health and welfare legislation.

Central authorities for plant health

Defra and UK Plant Health Service

3.28 Defra is responsible for co-ordinating plant health across the UK and crown dependencies. Defra, the devolved administrations and the Forestry Commission in England and Forestry Commission Scotland together form the UK Plant Health Service. Further details on roles and responsibilities are at [Appendix H](#).

Animal and Plant Health Agency

- 3.29 [APHA](#), an executive agency of Defra, provides services to the Scottish and Welsh Governments, other government departments and a range of customers. It is part of Defra's Food, Farming and Biosecurity (FFaB) system; one of the Defra group's three 'outcome systems'. The other systems lead on areas of work related to the natural and marine environment, rural issues, floods and water.
- 3.30 APHA has a Chief Executive who is responsible for overall performance, and the APHA Board sets the strategic direction, monitors achievement of key targets and management of risk. It also manages how the agency works and communicates with the Welsh and Scottish Governments. The Directorate Leadership Team has responsibility for the day-to-day running of APHA, which includes: authorising and managing the agency's change programme, implementing improvements and monitoring delivery against key ministerial and departmental targets. APHA also has an [Audit Risk Committee, Science Advisory Board and Strategic Health and Safety Committee](#).
- 3.31 APHA's headquarters is in Weybridge, Surrey, but also operates from many sites across GB providing field services, veterinary investigation and surveillance, and laboratory services. Further details on roles and responsibilities can be found in [Appendix G](#).

Plant Health and Seeds Inspectorate (PHSI)

- 3.32 PHSI operates through 13 regions and 39 local offices. It is Defra's official body for implementation of the single market regime for England, and for Wales on behalf of the WG. Inland it runs certification schemes including the Seed Potato Classification Scheme and activities relating to plant passporting. It issues technical guidance on plant pests and diseases and issues and monitors scientific licences for working on prohibited plant pests and diseases.
- 3.33 Plant health inspections are performed in horticultural, agricultural, or wider environment situations as well as eradication work for quarantine pests and diseases is notified and overseen. Similar inspection and eradication activities are also performed in forestry nurseries on behalf of the Forestry Commission. At the border, PHSI implements plant health controls on imported regulated articles, other than for wood and wood products where controls are undertaken by the Forestry Commission.

Forestry Commission

- 3.34 The Forestry Commission is the government department responsible for protecting, expanding and promoting the sustainable management of woodlands and increasing their value to society and the environment in England.
- 3.35 Forestry is a devolved matter. The Secretary of State for the Environment, Food and Rural Affairs has responsibility for forestry in England as well as

activities such as international affairs and plant health which remain reserved by Westminster. From the 1 April 2019, Scottish and Welsh ministers have responsibility for forestry in Scotland and Wales respectively. Forestry Commission England reports directly to the Secretary of State for Food, Environment and Rural Affairs, and the minister with responsibility for forestry, advising on policy and its implementation. The Forestry Commission works with two agencies: Forest Enterprise which manages the public forest estate; and Forest Research, GB's principal organisation for forestry and tree related research.

- 3.36 In Scotland, the SG ARE is responsible for plant health policy and plant and seed certification. The Scottish Government co-ordinates UK representation on matters relating to seed potato certification. SG Rural Payments and Inspections Division (RPID) and [Science and Advice for Scottish Agriculture \(SASA\)](#) are divisions of SG ARE which carry out monitoring and surveillance work and undertake inspections to ensure compliance with plant health controls. They also operate voluntary certification schemes. Scientific support is provided by SG SASA, which carries out laboratory testing and pest identification as well as providing advice on monitoring, interceptions and outbreaks. SASA issues licences for scientific work on prohibited pests and plants in Scotland and operates the Potato Quarantine Unit for the UK. The SG ARE headquarters is in Edinburgh.
- 3.37 In Wales, [Natural Resources Wales](#) carries out terrestrial disease control and surveillance. Wales makes use of an England and Wales framework contract for external port inspections and registers of traders are maintained jointly for the UK by the Forestry Commissioners who are responsible for functions as they relate to the import of material from third countries and the movement of material in the European Union, including the issue of plant passports and the registration of forestry traders
- 3.38 Both bodies are responsible for the authorisation of persons as inspectors, but for different purposes. Those authorised by the Forestry Commissioners undertake inspection and enforcement activity in relation to the premises of registered forestry traders; and those authorised by the Natural Resources Body for Wales undertake inspection and enforcement activity in relation to all other premises. The Department for Natural Resources is located throughout the Welsh Government's offices in Wales.
- 3.39 In Northern Ireland, DAERA is responsible for policy, technical and scientific matters relating to [plant health and plant certification](#), including forestry matters. Specialist diagnostic functions are provided to DAERA by the Agri-Food and Biosciences Institute (AFBI).

Bee health controls

- 3.40 In England and Wales, bee health controls are carried out by the [National Bee Unit](#) (NBU), part of APHA. The NBU reports to Defra in England and to Welsh Government's Land Nature Forestry (LNF) Division on aspects of delivery

relating to the inspection of bee colonies for pests and diseases. Further information on bee health is at [Appendix I](#).

- 3.41 In Scotland, the bee health programme is implemented by SG ARE and the operational aspects of the programme are delivered by the government's Bee Inspectors and SASA. SASA offers a diagnostic service allowing beekeepers to submit samples for examination and assessment of notifiable pests and disease. The Scottish Government also provides funding to [Scotland's Rural College](#) (SRUC) to support the work of an Apiculture Specialist who offers advice, guidance and training on bee health and husbandry.
- 3.42 In Northern Ireland, the [bee health programme](#) is implemented by DAERA. The annual work programme is implemented by a team of bee inspectors across Northern Ireland, and includes an annual survey for notifiable diseases, follow up inspections after disease outbreaks and checks on imports. DAERA bee inspectors, who operate on a seasonal basis, are responsible for the supervision of control and elimination of disease outbreaks. The Agri-food and Biosciences Institute (AFBI) provides a diagnostic service to both DAERA staff and beekeepers who suspect the presence of bee diseases.

Aquatic animal health controls

- 3.43 Cefas, an executive agency of Defra, provides scientific research and advice to Defra on a broad range of issues related to the marine and freshwater aquatic environment. [Cefas Fish Health Inspectorate \(FHI\)](#), based at Weymouth is responsible for the enforcement of the EU aquatic animal health regime on behalf of Defra and the Welsh Government. The Cefas Weymouth laboratory provides specialist advice, surveillance, diagnostic and research services on aquatic animal health on behalf of Defra, and on shellfish hygiene on behalf of the FSA. Further information is at [Appendix J](#).
- 3.44 Marine Scotland (MS) is a directorate of Scottish Government responsible for the integrated management of Scotland's seas promoting their prosperity and environmental sustainability.
- 3.45 Marine Scotland Science (MSS) is the scientific Division of MS, undertaking research and monitoring on a number of marine and fisheries issues including aquaculture and fish health, freshwater fisheries, sea fisheries and the marine ecosystem. MSS provides expert scientific and technical advice to Scottish Government.
- 3.46 Within MSS, the [Fish Health Inspectorate \(FHI\)](#) is responsible for preventing the introduction and spread of listed and emerging fish and shellfish disease in Scotland. It also enforces EU and domestic legislation relevant to aquatic animal health in Scotland. The work of the FHI is supported through MSS diagnostic and research staff and laboratories along with experts in epidemiology and policy colleagues covering aquatic animal health within Scottish Government.

- 3.47 DAERA is responsible for [aquaculture and fish health](#) policy and legislation. DAERA's FHI is responsible for the implementation and enforcement of the EU aquatic animal health regime and investigation of disease outbreaks in Northern Ireland. The FHI is supported by the AFBI which carries out fish and shellfish monitoring programmes and diagnostic investigation of disease outbreaks.

Rural payments

- 3.48 [The Rural Payments Agency](#) (RPA), an executive agency of Defra, undertakes cattle tracing services across GB. The British Cattle Movement Service (BCMS), which is part of RPA, operates the Cattle Tracing System which is the GB identification and registration database for cattle. BCMS also administers the Animal Movement Licensing System which is the central database for sheep, goat and pig movements for England and Wales.
- 3.49 On behalf of Defra, RPA is responsible for the cattle identification statutory inspection regime in England. RPA is the Competent Control Authority for the cross-compliance rules covering public health, animal health and plant health. It carries out statutory cross compliance inspections in these areas.
- 3.50 The overall policy and financial framework within which RPA operates is determined by the Secretary of State for Defra. The Chief Executive is responsible for the day to day management of RPA supported by senior managers. Further information is set at [Appendix K](#).
- 3.51 Rural Payments Wales (RPW) is a Division within the NR Department. As the Paying Agency for the EU Common Agricultural Policy (CAP) Schemes in Wales, RPW make payments to farmers and landowners.
- 3.52 In Scotland, [Rural Payments and Services](#) is delivered by the Scottish Government's Rural Payments and Inspections Division (SG RPID), with delivery partners. SG RPID is the accredited paying agency in Scotland for all the Commission's Common Agricultural Policy (CAP) schemes. Key responsibilities are payment of CAP scheme grants and subsidies. This is around £650m per annum in EC and SG funding inspection of agricultural land and livestock to ensure compliance with EC regulations.
- 3.53 In Northern Ireland, the Veterinary Service Animal Health Group (VSAHG) of DAERA operates the Animal and Public Health Information System (APHIS) database. It holds details of all registered cattle, sheep and pigs, goat and pig keepers and holdings, including markets, export assembly centres and slaughterhouses. It also holds the registration details of all individual cattle in the Northern Ireland herd and their movement histories. Batch pig movements are recorded and since 2010 the individual movement history of sheep and goats has been recorded on APHIS. Its data is used for tracing cattle, pigs and sheep for disease control purposes, such as Tuberculosis (TB) and Brucellosis control and Transmissible Spongiform Encephalopathy (TSE) testing.

- 3.54 The DAERA VSAHG is responsible for carrying out Cattle and Sheep Identity Inspections and also carries out Cross-Compliance Inspections with regard to the Statutory Management Requirements involving livestock.
- 3.55 DAERA administer a wide range of grant and subsidy schemes to support local farming, fisheries, rural businesses and communities.

Veterinary residues and pesticides

Veterinary Medicines Directorate

- 3.56 The [VMD](#), an executive agency of Defra acts on behalf of the Secretary of State in performing its functions. The VMD implements the monitoring of residues of veterinary medicines and monitoring of antimicrobial resistance with respect to animal health, and covers England, Wales, Northern Ireland and Scotland. Its day-to-day management and performance against key objectives is the responsibility of its Chief Executive Officer. VMD's policy, legal and resources framework is set out in a Framework Document.² The VMD reports to Defra's Chief Operating Officer. Further information is at [Appendix L](#).
- 3.57 The VMD has responsibility for inspecting approved manufacturers and distributors of medicated feeds containing Veterinary Medicinal Products (VMPs) and / or Specified Feed Additives (SFAs). The VMD maintains [a register](#) of all approved manufacturing establishments and distributors throughout GB.
- 3.58 DEFRA carries out legal investigations and prosecutions on behalf of the VMD for the possession, promotion and sale of unauthorised veterinary medicines and in relation to the unlawful manufacture and distribution of Schedule 5 products, which are the medicated feedingstuffs and SFAs.
- 3.59 VMD maintains a database for monitoring progress on completing the veterinary residues surveillance programme. The system produces monthly reports which update delegated bodies involved on their performance. Results from the delegated body laboratory are downloaded nightly. Where a new analytical method, or extension to an existing method is needed, this is agreed between VMD and Fera Science Ltd.
- 3.60 The VMD is responsible for the authorisation, distribution and use of VMPs. VMPs are authorised for five years initially and then permanently unless pharmacovigilance reports require a further renewal. The application and supporting data is evaluated by VMD assessors according to either the National or EU procedure. Further information on VMPs can be found in the UK Country Profile.

² Copies of the Framework Document are available free of charge from VMD (telephone +44 (0)1932 338337).

- 3.61 The VMD is responsible for antimicrobial resistance policy with respect to animal health. The VMD in partnership with DHSC is responsible for the delivery of the UK's five-year national action plan on tackling antimicrobial resistance (AMR) for 2019-2024, to meet the UK's 20-year vision for AMR. The VMD compiles data on antibiotic sales and is responsible for the surveillance of antibiotic resistance in animals; findings are published in an annual report. Data are submitted to the European Food Safety Authority (EFSA) for inclusion in EU surveillance reports, and the VMD is the secretariat for the Defra Antimicrobial Resistance Coordination group.

Health and Safety Executive

- 3.62 [HSE](#)'s role includes ensuring the safe use of biocides, industrial chemicals, pesticides and detergents to protect the health of people and the environment within the HSE's and Defra's overall objectives. HSE has responsibility for the regulation of biocides, pesticides, detergents, chemicals as they are regulated by REACH (Registration, Evaluation, Authorisation and Restriction of Chemicals), and under the Classification and Labelling regime. HSE work closely with Defra which has strategic policy responsibility for pesticides, chemicals and detergents and with FSA on issues related to food safety. HSE's regulatory functions apply across the UK, including the devolved nations. HSE has operational and enforcement authority legally delegated to them by Defra. Further information is at [Appendix M](#).
- 3.63 The HSE has access to UK and EU registration data for pesticide authorisation, which informs the CRD analytical and sampling programme. It manages work on the annual surveys of pesticide usage in the UK, the data from which provides useful intelligence to inform its monitoring programme. HSE has official arrangements or commercial contracts with laboratories for pesticide residues in food analysis and other work in support of plant protection product regulation and fund analytical and other projects in support of the pesticide residues monitoring programme, to improve the programme's robustness, range and speed.

Local authorities in the UK

- 3.64 There are 419 local authorities in the UK excluding Port Health Authorities (PHAs). The [Local Government Association](#) (LGA) and the [Welsh Local Government Association](#) have a role in coordinating regulation by local authorities in England and Wales. The [Convention of Scottish Local Authorities](#) and [Northern Ireland Local Government Association](#) perform these functions in Scotland and Northern Ireland respectively. Further information on local and port health authorities is at [Appendix N](#).
- 3.65 Local authorities fall into different categories and this determines the regulatory activities for which they are responsible. In England there are two tiers of local government: county councils, responsible for services across the whole county, and district councils responsible for other services within the county. Unitary authorities, which include London boroughs and metropolitan

boroughs, carry out both district and county functions. In Scotland, Wales and Northern Ireland, all authorities are unitary authorities.

- 3.66 On food law enforcement, county councils are responsible for enforcing food standards legislation (for example, food composition, labelling, claims and presentational matters) and on-farm food hygiene, while district councils are responsible for other food hygiene matters. Unitary and metropolitan authorities are responsible for both hygiene and standards issues.
- 3.67 Local authorities with points of entry into the UK or EU are responsible for official controls on food products imported from third countries. These include local authorities specifically constituted as PHAs for this function under an Act of Parliament.³ In places where a PHA cannot be constituted, for example, airports, the relevant local authority will act as the PHA. The [Association of Port Health Authorities](#) (APHA) (not to be confused with the Animal and Plant Health Agency) is the representative body for many PHAs.
- 3.68 Border Inspection Posts (BIPs) are facilities within a port or airport designated to undertake veterinary checks on Products of Animal Origin (POAO) imported into the EU. BIP facilities are usually privately owned but local and port health authorities are responsible for checks at BIPs approved for checks of POAO intended for human consumption and animal by-products (ABP). In Northern Ireland, DAERA and the district councils have responsibility to undertake checks on POAO with Belfast City Council having responsibility for fish and fishery products.
- 3.69 On feed, responsibility lies with 145 local authorities and PHAs in England, 31 local authorities in Scotland, 22 in Wales and with DAERA in Northern Ireland.
- 3.70 The feed and food law regulatory services of local authorities are generally provided by Environmental Health or Trading Standards departments. Authorised officers are Environmental Health Officers, Trading Standards Officers and other technical officers.
- 3.71 Similarly, animal health and welfare services are generally provided by local authority Trading Standards or Environmental Health departments, using authorised animal health and welfare officers.
- 3.72 Operational control of local and PHA regulatory services rest with senior authority officers. Overall policy, resource allocation strategy, and monitoring of service delivery rest within each authority with the elected members or councillors. They agree policies and priorities, taking account of statutory obligations, and officers of the authority are accountable to them.
- 3.73 The [Framework Agreement on Official Feed and Food Controls by Local Authorities](#) sets out the FSA's expectations from local authorities in their delivery of official feed and food controls. Similarly, the [Animal Health and](#)

³ Public Health (Control of Diseases) Act 1984, c 22.

[Welfare Framework](#) sets out the responsibilities for local authorities for delivery of animal health and welfare controls.

Laboratories and delegated bodies

3.74 In carrying out their various functions, competent authorities are assisted by National Reference Laboratories (NRLs), official laboratories, and by independent third parties to which specific control tasks have been delegated. These independent third parties are termed 'delegated bodies' under Regulation (EU) 2017/625 on official controls.

National Reference Laboratories (NRLs)

3.75 To provide technical and scientific support for the official controls framework, the Commission has created a network of [European Union Reference Laboratories](#) (EURLs). The legal basis for the network is Regulation (EU) 2017/625 on official controls. EURLs are appointed by the Commission.

3.76 To complete the framework, each member state is required to designate an [NRL](#) to correspond to each EURL, although the NRL does not have to be in the designating member state. NRLs work with the EURLs in their particular area of expertise and disseminate information provided by the EURL. NRLs are responsible for co-ordinating the activities of official laboratories and should, where appropriate, organise comparative tests between them. In addition, they provide scientific and technical assistance to the CCAs. Plant health NRLs have been designated in line with the requirements of Articles 100 and 101 of Regulation (EU) 2017/625 (the Official Controls Regulation), which became applicable on 29 April 2018.

3.77 Details of the UK NRLs together with information on how the relevant CCA ensures that they meet the requirements are provided at [Appendix O](#).

Official laboratories

3.78 Official laboratories are designated by the CCAs for analysing samples taken during official controls. In the UK, accreditation of official laboratories is undertaken by the [United Kingdom Accreditation Service](#) (UKAS).

3.79 Official feed and food laboratories include Public and Agricultural Analyst Laboratories, government and other microbiological laboratories with Food Examiners, that undertake work for local authorities. Government microbiological laboratories include those in the [Public Health England](#) (PHE) and [Public Health Wales](#) (PHW) network. Official laboratories must employ staff possessing qualifications which are defined by national legislation. In addition, Public Analysts must be formally appointed by a local authority. Laboratories that undertake work for the CCAs and their agencies or Directorates, such as the HSE and the VMD, are also designated official laboratories. Details of Official Laboratories are at [Appendix O](#).

- 3.80 Within the UK the official animal health laboratories include the APHA, SRUC, Marine Scotland's Marine Laboratory, AFBI Northern Ireland, Cefas, Fera and the Pirbright Institute. Other institutes, universities and private laboratories also provide a range of testing services to meet statutory and contractual requirements. Where non-governmental laboratories are used this is under the structure of sub contracted services. Laboratories providing official testing services will normally be accredited to an official testing standard with all laboratory staff being assessed as competent for the tests they perform. Laboratories that undertake work for the CCAs and their agencies or Directorates are also designated official laboratories.
- 3.81 There is no current legislative requirement to designate official laboratories in the plant health sector, until the relevant parts of Regulation (EU) 2017/625 (the Official Controls Regulation) are implemented. Government and other laboratories in England, Scotland and Northern Ireland carry out work as required in diagnosis, research and consultancy.

Delegated bodies employed by the UK authorities

- 3.82 Although the competent authorities have overall responsibility for organising and carrying out official controls they may, under the provisions of Regulation (EU) 2017/625 on official controls, delegate control tasks to independent third parties or 'delegated bodies'. In the UK, most of the delegated bodies employed by the competent authorities are:
- laboratories - see above
 - private bodies that collect samples for residue monitoring and surveillance programmes, certification of organic produce, verification of protected food names^{4,5,6}
 - commercial carrier companies approved by APHA to undertake documentary and identity checks on pet animals travelling under the EU pet travel scheme.
- 3.83 With regard to the plant health sector Council Directive 2000/29/EC also permits the use of independent private bodies authorised by the National Plant Protection Organisation (NPPO) to undertake control tasks. Its function is provided by the Defra, which represents the UK and Northern Ireland in international and European fora. The head of the NPPO and Chief Plant Health Officer (CPHO). In the UK most tasks are undertaken by the official Plant Health Services within Defra and devolved administrations but certain functions in the forestry sector are performed under contract. Additionally, PHSI and NBU samples are diagnosed under official authorisation by Fera Science Ltd.

⁴ [Council Regulation \(EC\) No 834/2007 on organic production and labelling of organic products and repealing Regulation \(EEC\) No 2092/91.](#)

⁵ [Council Regulation \(EC\) No 1151/2012 on agricultural products and foodstuffs as traditional specialities guaranteed.](#)

⁶ [Council Regulation \(EC\) No 1151/2012 on the protection of geographical indications and designations of origin for agricultural products and foodstuffs.](#)

- 3.84 Arrangements are in place through contracts or Service Level Agreements between the competent authority and the control body to ensure conditions and standards of performance are met. Full details of the delegated bodies in the UK can be found at [Appendix Q](#).

Operational information on competent authorities

Training for staff carrying out official controls

- 3.85 There are appropriate training and induction courses in place for officials and contract staff with responsibility for official controls. Professional qualifications are required for entry to many official control jobs. Continuing professional development ensures that employees and contract staff maintain their expertise. Training needs are identified by way of performance appraisal, business plans and audit results or in response to introduction of new legislation or control systems.

Conflict of interests

- 3.86 Official and contract staff, are required to declare any interests that conflict or may be perceived by others to conflict, directly or indirectly, with their ability to discharge their duties in an honest and impartial manner. Under their conditions of service, staff who own or have a commercial interest in a food business or own farmed livestock or other animals subject to official controls cannot undertake any official control inspection or testing in relation to these activities.

Record management and equipment

- 3.87 Officials and contract staff ensure that records are kept of all official controls and that equipment and facilities are appropriate for their control and that procedures are in place to ensure maintenance, storage and disposal of electronic and paper records in line with relevant legislation and good records management practice. Equipment and facilities are appropriate for their control activities.

Staff numbers

- 3.88 Staff numbers of competent authorities are provided at [Appendix R](#).

Chapter 4 – Co-ordination and co-operation

Feed and food sectors

- 4.1 In the UK competent authorities work together to safeguard public, animal and plant health, to promote animal welfare and protect consumers and co-ordinate their activities and co-operate with each other to ensure that there are no gaps in delivery.

FSA and FSS support mechanisms

- 4.2 The FSA and FSS provide central co-ordination of enforcement of feed and food safety legislation by local authorities in the UK.
- 4.3 A [MoU](#) sets out the principles for the working relationship between the FSA and FSS. The underpinning principles are effectiveness, mutual respect for obligations, efficiency, reciprocity, and cordiality. The MoU recognises and upholds the MoU and supplementary agreements between the UK government, the Scottish ministers, the Welsh ministers and the Northern Ireland Executive Committee, which has primacy over the MoU between the FSA and FSS. The MoU serves the purpose of a concordat between the Scottish Government and the FSA on matters relating to feed and food. It is underpinned by five protocols which set out in more detail operational considerations of how the bodies will work together in the following areas:
- incident handling
 - data sharing
 - science, evidence and analysis
 - EU and international matters
 - Communications.

Framework Agreement on official feed and food controls

- 4.4 In England, Wales and Northern Ireland, the Framework Agreement on Official Feed and Food Controls by Local Authorities sets out what the FSA expects from local authorities in their delivery of official controls on feed and food law. The Agreement is referenced in [Appendix N](#). In Scotland this is set out in the Feed and Food Law Code of Practice.

Feed and Food Law Codes of Practice and associated Practice Guidance

- 4.5 The Feed and Food Law Codes of Practice aim to ensure appropriate and consistent enforcement by setting out instructions and criteria to which local and port health authorities must have regard when engaged in the enforcement of feed and food law. Separate, but parallel Codes and Practice Guidance, exist in [England, Wales & Northern Ireland](#) and in [Scotland](#).

Food Hygiene Rating Scheme (FHRS) and Food Hygiene Information Scheme (FHIS)

- 4.6 The FHRS for England, Wales and Northern Ireland and the FHIS for Scotland aim to improve public health through behaviour change. The schemes are operated by local authorities in partnership with FSA or FSS. They enable consumers to make informed decisions about the places where they eat out or shop for food by providing them with information about the standards of hygiene found at the time of intervention by local authority food safety officers. The schemes recognise those businesses that meet legal requirements on food hygiene and incentivise others to improve standards. The aim is to reduce the incidence of food-borne illness and costs to the economy. FHRS ratings and FHIS inspection results are published on the FSA and FSS websites and are available via third party websites and mobile phone applications.
- 4.7 Businesses in England and Scotland are encouraged but not currently required to display ratings at their premises. In Wales and Northern Ireland, it is a legal requirement for businesses to display their rating at premises.
- 4.8 In England, local authorities operating the FHRS must follow [‘Brand Standard’ guidance](#) which aims to ensure consistency in operation of the scheme (similar guidance has been produced for the FHIS). Local authorities in Wales and Northern Ireland operate the scheme in line with statutory guidance.

Feed and food incidents

- 4.9 FSA is the UK contact point for RASFF notifications. The [RASFF system](#) provides control authorities in the member states with an effective tool for exchange of information on measures taken to ensure food safety.
- 4.10 Food Alerts allow the FSA and FSS to inform local authorities and consumers about problems associated with feed and food and, in some cases, provide details of specific action to be taken.
- 4.11 Different categories of alerts and information notices issued are as follows:
- **Food Alerts for Action:** issued when an incident requires enforcement action from local authorities to remove unsafe food from the market.
 - **Product Recall Information Notices:** issued when unsafe food is removed from the supply chain and consumers are advised to take appropriate action. Product Recall Information Notices are consumer focused and are brought to the attention of local authorities for reference purposes.
 - **Allergy Alerts:** issued when foods have to be recalled due to missing or incorrect allergen labelling meaning it is unsafe for certain consumers. Allergy Alerts are consumer focused and are brought to the attention of local authorities for reference purposes.

- 4.12 More information on food incidents, product recalls and withdrawals is available on the [FSA](#) and [FSS](#) websites.
- 4.13 Joint FSA/FSS guidance on Food Traceability, Withdrawals and Recalls within the UK Food Industry was issued in March 2019 to help improve the UK's withdrawal and recall system.

National Food Crime Unit and Scottish Food Crime and Incidents Unit

- 4.14 The National Food Crime Unit (NFCU) covers England, Wales and Northern Ireland, whilst the Scottish Food Crime and Incidents Unit (SFCIU) covers Scotland. The two units are jointly focused on establishing the scale and nature of food crime across the UK at a strategic level, through developing intelligence sharing relationships across the law enforcement community and the food industry.
- 4.15 The NFCU is currently in its fifth year. It has an operational intelligence function with established relationships across local authorities and the food industry at the local, regional and national level. The NFCU also has relationships with law enforcement partners to help intelligence-sharing and collaborative working.
- 4.16 Currently the NFCU is further developing its operational capability to expand from its original strategic and tactical intelligence collection and analysis remit, to one where it has the resources and capability to robustly respond to serious fraud and related criminality (food crime) within food supply chains. At full operational capability the unit will adopt the 4P approach described in the [2018 Serious Organised Crime Strategy](#): it will reduce vulnerability to food crime through taking actions to Protect and Prepare, and; reduce the threat from food crime through taking actions to Pursue and Prevent. The programme to deliver full operational capability is scheduled for completion by April 2020.
- 4.17 In 2018 the NFCU established the Global Alliance on Food Crime to build capability and understanding in third countries. The unit also has international reach and presence through other established channels. Information and guidance [on how to report a food crime](#), as well as guidance for those who want to report a crime confidentially is available on the FSA website.
- 4.18 FSS established SFCIU in October 2015. The unit provides leadership in the prevention, investigation, disruption and enforcement of food crime and in the management of food safety incidents nationally for Scotland. The SFCIU works with key partners to proactively develop intelligence aimed at identifying serious threats faced in Scotland because of food crime and in taking the appropriate action to combat those threats. In that regard the unit will:
- continue to develop an effective intelligence and information sharing landscape to help with the effective sharing of intelligence and evidence packages with key partner agencies

- lead investigations, where the complexity or seriousness of the criminality merits this; co-ordinate partnership activity to achieve the most effective response in relation to threat, risk and harm, particularly where food crime transcends local authority boundaries; support partners through access to subject matter expertise and specialist resources
 - work with key partners to disrupt food crime and, where possible, report offenders to the Procurator Fiscal, as a Specialist Reporting Agency.
 - play a leading role in establishing the standards for the criminal investigation of food crime in Scotland
 - provide guidance to regulators on the criminal offences that they may encounter
 - assist in establishing standards for the criminal investigation of food crime in Scotland
 - identify and resolve capability gaps.
- 4.19 The SFCIU will access and exchange intelligence and priorities at local, regional and national levels with a range of enforcement partners. Networks will continue to be developed and established internationally across the EU and in third countries.
- 4.20 Information and guidance [on reporting food fraud as well as guidance for whistleblowing](#) is available on the FSS website.

Groups facilitating co-ordination and co-operation

- 4.21 The FSA and FSS contribute to several groups with key stakeholders including representatives of industry, local authorities, consumers and other organisations, to help co-ordination and co-operation. These include:
- **National Agriculture Panel (NAP):** a national group of feed enforcement experts that has representatives from each of the regions in the UK, and provides technical and operational policy support to local authorities.
 - **National Animal Feed Ports Panel:** similar function to that of NAP, but focused on controls at points of entry.
 - **Wales Heads of Trading Standards (WHoTS) feed group:** assists in coordinating the delivery of feed law enforcement services, promotes good practice and offers expert advice.
 - **Wales Heads of Trading Standards (WHoTS) food standards and labelling group:** provides a forum for local authority officers to discuss food standards enforcement and coordinates enforcement activity across Wales. Assists in ensuring consistency, promotes good practice and offers specialist advice.
 - **Food Hygiene Ratings Steering Group:** advises the FSA on the operation of FHRS and helps achieve consistency of approach.
 - **UK Official Controls Audit Liaison Group:** formed to share information and experience and develop closer working relations between relevant UK audit units.

- **Scottish Food Enforcement Liaison Committee:** a non-statutory advisory committee formed to provide a forum for FSS to maintain and develop links with key stakeholders.
- **FSA in Wales/Food Safety Expert Panel:** a forum set up for local authorities to discuss all aspects of food hygiene delivery, impact of new legislation and policy decisions, and to develop standard protocols and procedures to promote consistency.
- **Northern Ireland Approvals Forum:** a forum to ensure collaboration between enforcement authorities across areas relating to milk and eggs, fish and shellfish and meat.
- **FSA in Wales/All Wales Local Authority Shellfish Liaison Group:** to discuss shellfish hygiene matters and share information/intelligence on enforcement.
- **FSA England Shellfish Stakeholder Working Group:** provides direction to the delivery of shellfish work areas.
- **Northern Ireland Fish and Shellfish Working Group:** representatives from local authorities, DAERA's Marine Division, DAERA Fisheries and the Environment Agency to discuss delivery of official controls, water quality issues and other areas of interest

4.22 The FSA and FSS provide and support a range of other activities aimed at further developing the co-ordination and co-operation of local authority official control activities. These include:

- **FSA Smarter Communications:** FSA's main way to communicate and engage with local authorities and other relevant stakeholders across England, Wales and Northern Ireland.
- **Guidance materials:** FSA and FSS regularly issues guidance materials for officers and businesses on a range of topics because of change in policy, new regulations coming into force etc.
- **Practical approaches to food safety management:** [Safer Food, Better Business](#) (England and Wales), [CookSafe](#) (Scotland), and [Safe Catering](#) (Northern Ireland).
- **MyHACCP:** a free online web tool to support small food manufacturing businesses to develop HACCP based food safety management systems.
- **Industry guides to good hygiene practice:** a [list of guides](#) can be accessed through the FSA website.
- **UK Food Surveillance System (UKFSS):** a database of chemical and microbiological sampling data relating to feed and food control activities undertaken by local authorities, and DAERA in Northern Ireland for feed across the UK.

Imported and exported feed and food

- 4.23 The principal competent authorities involved in imported feed and food controls are the FSA, FSS, Defra and the Agriculture/Rural Affairs departments in the devolved administrations, HMRC ⁷ and the [United Kingdom Border Force](#) (UKBF). There is regular liaison between these authorities at the twice yearly formal meetings between the FSA, FSS, Defra, HMRC, UKBF, FERA and APHA. In addition, *ad hoc* meetings are held to discuss specific issues and there is routine communication between the departments on day to day work issues.
- 4.24 There is also close liaison between these central government departments and the local and port health authorities that are involved in carrying out controls. This is made possible through the enforcement representative bodies, [Association of Port Health Authorities](#) for example via its Imported Food and Feed, and BIP Technical Committees, and the LGA, and through routine meetings with representatives from the major ports where feed and food is entering into the UK.
- 4.25 In addition to the above, the FSA has developed or participated with partners to deliver the following initiatives:
- **inland enforcement of imported feed and food controls resource pack:** practical guidance and advice ([FSA/FSS](#)) on the approach to enforcement and a training aid for inland enforcement practitioners
 - **imported food training courses:** a range of courses and an online training package for inland and port health authorities covering enforcement of imported food controls and sampling and analysis of imported food
 - **training of BIP staff:** organised by the Animal and Plant Health Agency
 - comprehensive source of information on [imported food controls](#), and a dedicated Helpline to provide a first point of contact for advice on imported food control issues
 - **FSS** also provides a [resource on imported feed and food](#)
 - **Wales Port Health Expert Panel:** a forum for discussion and to provide contribution and feedback from local authorities in Wales with port health responsibility.
- 4.26 The FSA has developed an Early Warning System (EWS) for detecting new signals and potential emerging risks relating to non-compliant imported food. This in-house system uses data and signals from a number of sources including local and port health authority sampling data and EU border rejection notifications issued through the EU's RASFF Portal.
- 4.27 Where new signals relating to specific foods from particular non-EU countries are identified, the information is collated to establish emerging risk patterns

⁷ HMRC does not currently have a role in Northern Ireland in relation to illegal imports of food. DAERA performs the equivalent role.

and this information is then shared with local inland and port health authorities enabling targeted enforcement. The EWS data has helped to inform decisions at EU level on high-risk foods subject to additional official controls at the point of entry into the EU.

- 4.28 Information about the roles of [Defra](#) and the [FSA](#) with regard to exported food is available on their respective websites. For details of Animal and Plant Health Agency's role with regard to export health certificates, see [Appendix G](#).

Local Government Association (LGA)

- 4.29 The LGA works with local authorities to support, promote and improve local government, as well as to influence and lobby central government. It is a cross-party, politically-led membership organisation and provides support to officers and councillors alike. In total, 415 authorities are members of the LGA for 2017/2018. These include 349 English councils and 22 Welsh councils.
- 4.30 The LGA-Knowledge Hub, is a professional, secure social networking tool. It exists to help discussion, sharing of ideas and problem resolution for all people in local government (they must register to gain access). It is a key dissemination and engagement tool for national departments and regulators, as well as offering specialist officers a chance to come together and respond to national initiatives.

Regional and national focus groups for feed and food

- 4.31 Local authorities across the UK belong to Feed and Food Standards and Safety Liaison Groups made up of neighbouring local authorities with feed and food regulatory responsibilities. These groups offer local authority officers an opportunity to discuss cross-border issues and enforcement needs. In Northern Ireland, FSA works closely with the Environmental Health Northern Ireland Group, Northern Ireland Food Managers Group and a number of sub-groups to support the delivery of FSA priorities on food safety, consumer protection and health and wellbeing.
- 4.32 The FSA regularly attends Food Safety Liaison Group meetings. These are in turn supported by a system of regional groups which can cascade upwards issues of national importance to the LGA or the FSA. The FSA and LGA may also approach the regional or local groups to provide frontline intelligence, develop specialist guidance or offer bespoke training support. The FSA supports the national Food Hygiene Focus Group, the Food Standards and Labelling Focus Group and the National Agriculture Panel which are opportunities for local authorities to discuss and input to FSA policy development.
- 4.33 The FSA is setting up a series of meetings at which Regional Food Leads can raise issues with the FSA and have the opportunity to discuss these in detail. Annual FSA strategic update events will be held in each of the English regions to highlight topical issues and provide local authorities with an opportunity to network and share good practice.

- 4.34 In Scotland, there are four regional Food Liaison Groups providing local authority enforcement officers with a forum to discuss cross-border enforcement issues, which are regularly attended by FSS. These regional groups provide a mechanism for Scottish local authorities to escalate issues to national level, either via the Scottish Food Enforcement Committee (SFELC) or directly with FSS. SFELC itself has a range of specialist sub-committees which are also attended by FSS, such as those on food safety, food standards, and animal feeding stuffs.

Primary Authority and the Home Authority Principle

- 4.35 Primary Authority and the Home Authority Principle help local authorities work together with businesses to provide consistent and co-ordinated Trading Standards and food enforcement services, particularly across geographical authority boundaries. Both Primary Authority and the Home Authority Principle are endorsed by the FSA and are reflected in the statutory Food Law and Feed Law Codes of Practice to which local authorities must have regard. Primary Authority in relation to food safety, only applies in England and Wales.
- 4.36 [Primary Authority](#) is a means for businesses to receive assured and tailored advice on meeting environmental health, Trading Standards or fire safety regulations through a single point of contact. This ensures start-ups get it right at the outset and enables all businesses to invest with confidence in products, practices and procedures, knowing that the resources they devote to compliance are well spent. Primary Authority is based on legal partnerships between businesses and individual local authorities. Businesses can set up their own partnership or belong to a trade association (or other type of group) with an existing partnership. The eligibility criteria for Primary Authority have been expanded and from 1 October 2017 all businesses can now benefit.
- 4.37 The FSA became a Primary Authority 'supporting regulator' in October 2017 as part of the changes introduced to the scheme by the Enterprise Act 2016. The supporting regulator role enables the FSA to take a more structured role in Primary Authority and assist primary authorities in the development of advice and guidance for businesses.
- 4.38 The Scottish Government has yet to implement its [proposals for Primary Authority arrangements](#) relating to the devolved regulatory responsibilities of local authorities in Scotland, and FSS are liaising closely with the Scottish Government as the scheme is developed.
- 4.39 Some businesses will build up a non-statutory relationship with the local authority where they are based or, in the case of multiple site businesses, where the head office is based, for the provision of advice and information in relation to Trading Standards and food safety matters. That authority is referred to as the Home Authority i.e. the local authority where the relevant decision-making base of a business is located. The Home Authority Principle is a voluntary scheme though its intentions are underpinned by the

requirements of the Regulators Code to promote efficient and effective approaches to regulatory inspection and enforcement.

Veterinary medicines residues monitoring

- 4.40 To ensure the smooth running of the veterinary medicines residues monitoring programme, the VMD holds a planning meeting every September to consider the scope of the residues surveillance programme for the coming year, using intelligence from various sources. This involves officials from the collection agencies, control laboratories, government bodies and independent advisors. In addition, the VMD has quarterly meetings with the main contractors and delegated bodies to discuss progress on the plan and issues related to residues surveillance. It also meets officials from the NRLs twice a year.
- 4.41 In Northern Ireland, representatives of the analytical services, Food Policy Branch of DAERA and FSA meet monthly to discuss progress with the plan and residues related issues. Quarterly reports on overall performance against the plan are provided to VMD.

Pesticide residues in food monitoring

- 4.42 For pesticide residues in food, exchange of information takes place with other parts of HSE, Defra and other UK agriculture departments, the FSA, the RPA as required.
- 4.43 HSE organises quarterly meetings of the [Expert Committee on Pesticides Residues in Food](#) (PRiF) which is made up of independent experts and advises Defra and FSA on the UK monitoring programme. Officials nominated by Defra, DAERA and SG ARE, together with officials from HSE, Defra and the FSA also attend these meetings. Each year PRiF advise HSE on the pesticide residues in food national monitoring programme for the following years taking into account stakeholder comments.

Animal health and welfare sectors

Animal health and welfare framework

- 4.44 Local authorities in England and Wales are required by law to enforce legislation relating to the health and welfare of farmed animals. To help local authorities deliver this requirement an updated [Animal Health and Welfare Framework](#) for England was launched in 2018 (a parallel agreement is being finalised in Wales). Local authorities in England have been asked to use the framework to support their animal health and welfare services from April 2019 onwards.
- 4.45 The updated framework is a partnership agreement that aims to increase mutual understanding and collaboration between Defra, APHA and local authorities in relation to animal health and welfare work. It gives local authorities a set of practical principles to help deliver their duties under animal

health and welfare legislation in a way that is flexible and accountable to their own communities. It specifically asks local authorities to:

- respond to complaints in a risk assessed and consistent manner
- have a clear policy about animal welfare
- identify all high-risk premises and undertake programmed visits
- ensure that work is undertaken with APHA to risk assess and plan visits to all livestock markets and collection centres
- have up to date animal disease contingency plans.

- 4.46 The updated framework also provides a staged approach to increasing the use of intelligence to inform animal health and welfare work. The principles within the framework not only let local authorities respond to the unique risks within their local area but also deliver the nationally consistent approach that is expected by businesses and the public. The framework specifically underpins requirements of European legislation and international trading arrangements.
- 4.47 Defra and the WG EERA have a joint SLA with the FSA. The Scottish Government has a separate SLA with FSS. Details of the control activities that the FSA and FSS undertake in relation to national and EU animal health and welfare rules are detailed in the Annexes to the SLA. These include: welfare inspection of live animals and sampling.
- 4.48 Animal identification, detecting disease during ante and post-mortem inspections and enforcing rules on cleansing and disinfection of vehicles at slaughterhouses and licensing designated slaughterhouses are conducted under an agreement with APHA.
- 4.49 The FSA works with the British Cattle Movement Service (BCMS) to fulfil Food Chain Information requirements for Cattle ID checks. The FSA also conducts Horse ID checks on behalf of Defra.
- 4.50 Reports on these activities are made to the central departments and to other interested bodies such as APHA and the relevant local authority. The SLAs with FSA and FSS are reviewed annually and where necessary the Annexes amended to reflect the current work programmes. Any variations or additional work during the year are negotiated at the time.

Working with local authorities

- 4.51 The Animal Health and Welfare framework recognises the important partnership between Defra, the Welsh Government, APHA and local authorities.
- 4.52 As part of the framework APHA manages a Defra owned web-based secure enforcement database - the Animal Health and Welfare Management and Enforcement System. This helps those participating local authorities to enter information in relation to their respective enforcement activities and provides management information at a local, regional and national level.

4.53 Local authorities with responsibility for animal health and welfare enforcement attend quarterly regional meetings to discuss common concerns, emerging trends, and national requirements. Each region is structured to encourage regular communications. Each regional group is represented on a National Animal Health and Welfare Panel. This panel produces guidance aimed at generating consistent enforcement, discusses strategic issues, and provides technical expertise. Representatives of delivery partners are often invited to participate in both national and regional meetings to promote transparency and partnership working.

Chief Veterinary Officer (CVO) meetings

4.54 Co-ordination meetings on technical animal health and welfare issues are held monthly involving Defra, the Scottish Government, the Welsh Government and DAERA and other government departments at CVO level. These meetings provide a strategic overview of animal health and welfare issues at the domestic and EU/international level with the aim of:

- exchanging views on current animal health and welfare issues and longer-term initiatives across the four administrations
- gaining a shared understanding of key EU/international negotiations and how they may impact on each administration, and agreeing a common UK position
- formally considering risks identified by the Veterinary Risk Group (VRG) that threaten the UK's animal disease control status and discussing and agreeing appropriate mitigating actions.

Veterinary Risk Group (VRG)

4.55 The VRG was established in response to the Anderson Review (Lessons Learned from the Foot and Mouth Disease outbreak in 2007) which recommended that government should establish a standardised and systematic process for identifying, assessing, characterising, prioritising and escalating unexpected animal-related threats. The VRG meets monthly to consider threats raised across government's remit, and provides transparent, auditable technical advice on options for risk management to inform decision making. The VRG is a cross-directorate and cross-administration UK-level body which reports to the four UK Chief Veterinary Officers.

4.56 The [Animal Health and Welfare Board for England](#) is the principal source of departmental advice to Defra ministers on strategic health and welfare matters relating to kept animals in England. The Board's role is to set the strategic policy framework, using it as the basis for day-to-day advice to ministers and day-to-day operational actions.

4.57 The Board's responsibilities include:

- developing and implementing animal health and welfare policy and ensuring value for money

- assessing of the risk of threats from animal disease and what the surveillance and research priorities should be
- monitoring the regulatory framework
- approving the operational plans of the APHA and other bodies; and
- reviewing contingency plans for dealing with new disease outbreaks.

4.58 Although not a formal advisory board for Welsh Government the Wales Animal Health and Welfare Framework sets out the long-term plan for continuing and lasting improvements in standards of animal health and welfare for kept animals, whilst also helping to protect public health and contributing to the economy and the environment.

4.59 The framework group plays a pivotal role in providing a recognised link between the Welsh Government, livestock keepers, animal owners, industry representatives and the veterinary profession. Each year an annual implementation plan is published which sets out the priorities and key actions for delivery. The Framework Implementation Plan for 2019/20 is currently being developed.

Biosecurity across Defra and its agencies

4.60 Defra assesses thousands of risks to animal and plant health including aquaculture, bees and risks to the environment. These risks are constantly evolving as risk pathways change, whether due to climate change, trade patterns or other factors. As a result, Defra continues to update its approaches to risks and issues related to biosecurity, covering animal, plant, bees, aquatic animal health, and invasive non-native species, across the continuum of activities on biosecurity – pre-border, at the border and within the UK. Monthly biosecurity meetings are held to enable timely escalation of new and changing biosecurity risks to animal and plant health and the environment from invasive non-native species. These meetings are held with senior officials and ministers and provide strategic oversight and direction.

Aquatic animal health

4.61 The following mechanisms are in place to help effective co-ordination:

- **annual stakeholder meeting:** a forum for discussion of major policy issues (including contingency planning) between Defra and devolved administrations, as well as other Agriculture/Rural Affairs departments, the official services and other interested bodies
- **NRL meetings:** enable inspectorate and diagnostic services staff to liaise on inspection and control programmes, the development of contingency plans and the consistent application of diagnostic techniques, and allow for discussions and the sharing of information covering emerging diseases and issues

- **aquatic animal health and movements guides:** provide information on a range of aquatic animal health matters, from disease control advice to rules on importation of fish and shellfish from other countries ([Defra](#), [Scottish Government](#) – MSS, and [DAERA](#))
- **advisory services:** the inspectorates at Cefas, MSS and DAERA provide advice through expert points of contact during inspections and monitoring programmes and laboratory advisory services
- **APHA BIP portal meetings:** organised by APHA and provide Cefas with a forum for ensuring consistency in the application of official controls on third country imports, exploring industry-wide concerns help liaison between BIP staff and the FHIs

Bee health

- 4.62 Bee health policy is a devolved matter, meaning each of the four countries that make up the UK are responsible for their own programmes to protect bee health. Coordination of these programmes is made possible through planned meetings and informal discussions.
- 4.63 Defra's current programme is operated under the Healthy Bees Plan. This is a 10-year plan aimed at protecting and sustaining honey bee health in England and Wales. Engagement with beekeepers is key to delivery of the plan's aims and is made possible through quarterly meetings at the Bee Health Advisory Forum. The plan comes to an end in 2019 and work is underway by government and stakeholders to review its delivery and how lessons can be taken forward into a successor programme.
- 4.64 The Scottish Government, together with representatives from the Scottish Beekeepers Association and the Bee Farmers Association have produced an equivalent plan, the [Honey Bee Health Strategy](#). The Scottish Government is also official observer at Defra's Bee Health Advisory Forum.
- 4.65 In Northern Ireland, DAERA is engaging with the Ulster Beekeepers Association and the Institute of Northern Ireland Beekeepers in implementing the [Strategy for the Sustainability of the Honey Bee](#).

Plant health sector

- 4.66 As the 'single authority' for the UK under the Plant Health Directive (2000/29/EC), Defra's Plant Health Policy Programme liaises closely with the other competent plant health authorities within the UK. There are formal co-ordination meetings every six months and monthly meetings of the Plant Health Risk Group on specific issues.
- 4.67 With regard to the EU and working with the equivalent services in the other member states, notifications of interceptions of pests and diseases and other instances of non-compliance are sent to the Commission using the Europhyt notification system (European Network of Plant Health Information Systems) as required under Directive 2000/29/EC. If the interception is of immediate

concern and/or if emergency action is being taken, the Commission is informed by letter. This system ensures that issues are brought to the attention of all member states.

- 4.68 The UK uses the same system to notify interceptions in material moving within the EU. This information is copied to the European and Mediterranean Plant Protection Organisation which represents 50 countries in Europe. Reports of new pest outbreaks are added to the International Phytosanitary Portal (IPP), the website of the International Plant Protection Convention, thus ensuring that all trading partners are informed.
- 4.69 In addition to this, DAERA has regular meetings with Plant Health officials in the Department of Agriculture, Food and the Marine in the Republic of Ireland and maintains close contact on issues of mutual interest.

Chapter 5 – Emergency and contingency planning and mutual assistance

Contingency plans in the feed and food sector

- 5.1 Co-ordination and co-operation of the various authorities is particularly important in the case of emergencies and various contingency plans are in place to deal with such events. These contingency arrangements are outlined below.

FSA and FSS

- 5.2 The [FSA's Non-Routine Incident Management Plan](#) (IMP) outlines the procedures that should be followed by FSA staff during non-routine feed and food incidents. The FSA classifies incidents in terms of the scale of resource required to manage the incident and levels of management authority. FSA classifications are: Routine, Serious, Severe or Major.
- 5.3 A major incident would be part of a central co-ordinated government emergency response. The IMP describes notification, command and control, escalation, and communication procedures during incidents and gives guidance on arrangements for working with other government departments / agencies, stakeholders and enforcement partners during an incident.
- 5.4 The IMP is supported by a Routine Incident Management Plan and a series of Standard Operating Procedures. The Routine Incident Management Plan provides guidance for FSA staff on operational level incident response and details risk management options for routine incidents.
- 5.5 FSA incident response is continuous across England, Wales and Northern Ireland. The MoU in place between the FSA and FSS provides for the management of incidents under the FSA's IMP. Where the impact of an incident does not extend beyond Scotland it will be managed under the FSS IMP. The FSA and FSS maintain regular contact on incident handling and liaise on emergency exercises to test the integrity of their plans.
- 5.6 FSS's new [Incident Management Framework](#) was approved by the FSS Board in August 2018 and outlines FSS's incident management processes in the event of feed and food incidents. FSS classifies incidents in terms of levels, based on a range of criteria which determines the resulting management structures to be established. FSS classifies incidents as: Level 1 (Routine), Level 2 (Serious), Level 3 (Severe) or Level 4 (Major). A major incident would be part of a central Scottish Government emergency response. The framework is aligned with the FSA IMP with regard to incident classification and describes notification and escalation procedures within a two-tier command and control structure.

- 5.7 The IMP is underpinned by standard operating procedures outlining how routine Level 1 incidents are managed.
- 5.8 FSA Operations (responsible in England and Wales for official controls in approved meat establishments subject to veterinary audit and on farm dairy hygiene controls) has in place practiced contingency arrangements for dealing with outbreaks of notifiable diseases such as Foot and Mouth Disease, Avian Influenza and Blue Tongue. These plans, which will be reviewed and tested on a regular basis, form part of the FSA's business continuity plan. The FSA Operations Senior Management team is the strategic decision-making body, and lower level contingency teams are responsible for tactical decisions.
- 5.9 FSS Operations has similar contingency arrangements in place which are reflected in the SLA between SG and FSS for animal health and welfare official controls in approved meat establishments, which includes provision for the designation of premises for the slaughter of animals in the event of a disease outbreak when required.
- 5.10 Close links have also been established with a number of other departments and agencies to ensure a rapid and co-ordinated response during incidents/emergencies (there are Service Level Agreements or Memoranda of Understanding with many of them). This includes Defra, the EA, the APHA, Cefas and SRUC. Information and instructions are transmitted to local authorities via RASFF.

VMD

- 5.11 With regard to medicated feedingstuffs and Specified Feed Additives (SFAs), contingency planning is included in the VMD Standard Operating Procedures (SOPs). When a feed safety incident involving animal feedingstuffs placed on the market is identified at an inspection, the Inspector should inform the Head of Investigations and Inspection team and the Feed Branch of the VMD immediately, who will then notify the FSA or FSS if necessary. Where the VMD residue surveillance scheme identifies a residue in an animal or animal product that may have resulted from feed, this is investigated by VMD inspectors to identify the potential cause and corrective actions required. This minimises the risk of excessive residues of veterinary medicines or banned substances entering the food chain.
- 5.12 With regards to AMR, VMD has in place a contingency planning document which outlines responsibilities and actions for UK government departments / agencies if a resistant bacterial isolate which poses a potential high risk to human and/or animal health is isolated from an animal source.

HSE

- 5.13 HSE has drawn up a Pesticide Residues Emergency Plan and is responsible for maintaining it. The plan summarises procedures to be followed in the event of incidents of potential inland food safety concern involving pesticide residues, for which HSE generally has lead responsibility. These include

emergency action resulting from monitoring and enforcement activities and arising from spillages (including into waterways), misuse or abuse of pesticides, or contamination from an unknown origin. The Plan also details procedures for dealing with acute safety implications arising from contaminated imports, normally reported via RASFF, for which FSA takes lead responsibility but involving HSE in risk assessment and dissemination of information.

- 5.14 If there are issues relating to food safety, HSE liaises closely with the FSA or FSS Incidents Branch, which would be responsible for any product recall.

DAERA

- 5.15 DAERA maintains a contingency plan for animal feed which is agreed with the FSA. DAERA also maintains Egg Hygiene and Dairy Hygiene Incident Support Protocols, which define DAERA's service to FSA in supporting FSA led dairy and egg hygiene incidents management arrangements. These are also agreed with FSA. These plans are reviewed and tested regularly, and staff trained as necessary.

Local authorities

- 5.16 Local authorities are required by the relevant Feed and Food Law Codes of Practice (see [Appendix N](#)) to set up and implement documented procedures for dealing with incidents and emergencies on feed and food. Serious incidents resulting in, for example, an outbreak of foodborne illness should be immediately notified to the appropriate agency or agencies such as PHE and the FSA or FSS. Local authorities should also carry out an assessment to determine the likely scale, extent and severity of the risk to public health or safety involving other agencies as appropriate.

Contingency plans in the animal health sector

Notifiable exotic animal diseases

- 5.17 Each country in the UK produces their own contingency plan that sets out the structures and systems used to co-ordinate an effective response within its own jurisdiction. However, co-operation and co-ordination between the Administrations is crucial to effective and early disease control and to enable disease free status to be recovered without delay. The UK Contingency plan⁸ provides an overview of the response to an outbreak of exotic notifiable disease at UK level. The plan highlights how the Administrations work together to provide a rapid and effective response and contains details on the structures, roles and responsibilities that are activated during an outbreak.

⁸ [UK Contingency plan for exotic notifiable diseases of animals](#)

- 5.18 In England, as part of Defra's emergency preparedness for exotic notifiable diseases of animals, Defra and APHA prepare and maintain the Defra Contingency Plan for Exotic Notifiable Diseases of Animals⁹. Scotland, Wales¹⁰ and Northern Ireland¹¹ have similar complementary plans. Each plan sets out the operational response that each government, their agencies and partners will put in place to deal with any occurrence of Foot and Mouth Disease, Avian Influenza or Newcastle Disease. The plans are also applicable to all other notifiable exotic diseases of animals. The plans highlight the activities and processes that ensure a high-level of preparedness for an outbreak of an exotic notifiable disease.
- 5.19 These plans are subject to on-going revision based on the latest developments in science and epidemiological modelling, feedback from stakeholders and operational partners and the lesson learned from exercises and incidents. The Scottish Government model is based on a single generic contingency framework plan¹². Control concepts and responses to specific exotic disease are appended as separate annexes. The Scottish Government's Exotic Animal Disease Communications strategy, which complements the framework plan, sets out the strategic objectives of all communication aspects in a disease control response.
- 5.20 In accordance with the requirements of relevant EU legislation, the Contingency Plan is tested and validated at least twice in a five-year period by a major UK-wide exercise unless there is an outbreak of notifiable exotic disease in the UK. APHA also operates a programme of centrally co-ordinated local exercises to rehearse and test APHA's emergency preparedness to deal effectively with outbreaks of animal disease at the operational level. This programme is delivered in liaison with Defra, the Scottish Government, the Welsh Government, other government departments, operational partners and key stakeholders. In Northern Ireland DAERA delivers a similar programme of annual contingency exercises designed to rehearse and test DAERA's emergency preparedness. The programme follows a three-year rolling cycle covering ruminant, pig and avian diseases.
- 5.21 Local authorities have their own local contingency plans based on a template developed centrally and are closely linked to the Defra, Scottish Government and Welsh Government Plans.

Aquatic animal health

- 5.22 Defra (Cefas), Welsh Government, SG and DAERA have contingency plans in place covering the entire UK and are responsible for the maintenance and testing of these plans. The plans ([England and Wales](#) / [Scotland](#)) deal with outbreaks of serious diseases of aquatic animals (such as, Gyrodactylosis

⁹ See above link.

¹⁰ [Wales contingency plan for exotic notifiable diseases of animals](#)

¹¹ [DAERA Northern Ireland contingency plan for exotic notifiable diseases of animals](#)

¹² [Scottish Government contingency plan for exotic notifiable diseases of animals](#)

caused by *Gyrodactylus salaris*, infectious haematopoietic necrosis and viral haemorrhagic septicaemia).

- 5.23 DAERA's fish health contingency plans provide for trans-border arrangements with the Republic of Ireland. DAERA works closely with the Republic of Ireland's Department of Agriculture, Food and the Marine and the Marine Institute in Ireland on a range of aquatic health issues.

Bee health

- 5.24 A contingency plan for England and Wales¹³ has been developed for incidents involving the notifiable pests, Small hive beetle and *Tropilaelaps* mites, and this plan can be used as a template for any new exotic pests and diseases in the future.
- 5.25 In the event of an outbreak, NBU is responsible for managing the outbreak at operational level. The unit will involve Defra's Bee Health Policy team and the Welsh Government and, following confirmation, the Scottish Government, DAERA and relevant stakeholders. Defra's Bee Health Policy team is responsible for notifying the Commission and the Office International des Epizooties (the world organisation for animal health) within 24 hours of the confirmation of the primary outbreak of a notifiable pest or disease through Defra's CVO. Liaison will continue with the devolved administrations and the Commission whilst necessary control procedures are put in place.
- 5.26 Defra, the Welsh Government and the NBU are responsible for maintaining and testing the plan and disseminating it to stakeholders. A similar contingency plan has been developed and published by SG ARE. DAERA also has a Bee Health contingency plan for Northern Ireland¹⁴. A contingency plan has been developed for the Asian hornet (*Vespa velutina*) in England and Wales. This has been used for outbreaks of the Asian hornet each year since 2016 whereby operational procedures have been refined in line with the experience gained.

Contingency plans in the plant health sector

- 5.27 In England and Wales, APHA's PHSI operate through a series of SOPs analogous to contingency plans, which are also made available to other parts of the plant health services. Plans for high profile pests and diseases including for Colorado beetle and *Xylella fastidiosa* as well as Defra's generic contingency plan for plant and bee disease can be found on Defra's [Plant health information portal](#).
- 5.28 Following the creation and implementation of a plant health risk register, contingency plans have been developed and published for plant and tree pests identified on the risk register as presenting the highest risk. Defra's

¹³ [Contingency plan for plant and bee health in England and Wales](#)

¹⁴ [Northern Ireland Bee health contingency plan](#)

generic contingency plan has been published to fall into line with other national level emergency plans. Both the generic and pest specific contingency plans have been produced in line with international standards, and with consultation from UK stakeholders. Pest specific contingency plans include those for Colorado and potato flea beetle and *Xylella fastidiosa*. The UK plant health services are involved in UK preparedness operations. Plant pest specific contingency plans are published on the UK Plant health portal.

- 5.29 The Forestry Commission has developed a generic contingency plan and has published pest-specific contingency plans for tree pests including Emerald Ash Borer, Sweet Chestnut Blight and Oak Processionary Moth. Tree pest specific contingency plans are published on the UK Plant health portal.

Mutual assistance and co-operation between member states

- 5.30 Arrangements are in place in the UK to fulfil the requirements set out in EU Regulation (EC) No 882/2004 on administrative assistance and co-operation in the areas of feed and food. These requirements aim to ensure mutual assistance and co-operation between the competent authorities of the different member states and with the Commission so that they may work together where the results of enforcement controls indicate that action is needed in more than one country. This is separate to the arrangements concerning food hazards and incidents that are communicated via the Commission's RASFF system but is rather for dealing with more routine matters.
- 5.31 The arrangements for UK local authorities dealing with feed and food law enforcement are set out in the Food Law Codes of Practice ([England, Wales and Northern Ireland](#) and [Scotland](#)) and the Feed Law Code of Practice ([England, Wales and Northern Ireland](#) and [Scotland](#)).
- 5.32 Each member state is required to designate a 'liaison body' to act as the first point of communication for transmission and reception of requests for assistance. In the UK, the FSA performs this role. Defra has regular contact with the FSA on veterinary issues where they have an impact on feed or food safety.
- 5.33 As Northern Ireland has a land border with the Republic of Ireland, the FSA has regular contact and partnership working arrangements with the Republic's Food Safety Authority (FSAI), Department of Agriculture, Food and the Marine (DAFM) and the Sea Fisheries Protection Authority.

Chapter 6 – Arrangements for audit and assurance of competent authorities

Monitoring and auditing performance

- 6.1 Responsibility for monitoring and auditing compliance with feed and food law, animal health, animal welfare and plant health laws and enforcement of their requirements, is divided between:
- the FSA, FSS, local and port health authorities
 - Defra (and its agencies)
 - devolved agriculture departments.

Monitoring and audit of local and port health authorities

Audit scheme

- 6.2 The FSA and FSS have statutory powers to monitor and audit authorities that enforce legislation for which they are responsible. Based on these powers, established audit schemes for local and port health authorities are in place. These audit schemes assess performance of local and port health authorities against specific standards and identify good practice.
- 6.3 Structural changes aimed at improving clarity of roles and responsibilities within the FSA in relation to official controls and to ensure that FSA Local Audit Schemes are better aligned with the objectives of Regulation EC 882/2004 were implemented in 2018/19. Responsibility for audits of all official control delivery bodies, including local authorities, now rests with the FSA's Audit Assurance Team. Local authority performance monitoring activities, previously undertaken by the Local Authority Audit Team in England, are now undertaken by a separate team (see paras 6.10 to 6.13).
- 6.4 The FSA Audit Assurance team in England, FSA Audit team in Wales, FSA Audit team in Northern Ireland and FSS Local Authority Audit team in Scotland co-ordinate their own audit programmes for local authorities, co-operating and sharing information to unify plans and documentation where possible. Full details of the audit scheme are published ([England, Wales and Northern Ireland](#) and [Scotland](#)).
- 6.5 The audit scheme provides a means to:
- assess conformity with the Food and Feed Law Codes of Practice and the standards in the Framework Agreement on Official Feed and Food Controls by Local Authorities (in England, Wales and Northern Ireland)
 - identify under-performance in local authority delivery of feed and food enforcement services and monitor improvements
 - assist in the identification and dissemination of good practice
 - provide information for FSA and FSS policy

- promote conformance with standards, guidance and Codes of Practice.

Audit programme

- 6.6 Risk-based annual audit programmes reflect current and anticipated audit priorities. Feed and food safety risks and priorities identified by FSA management together with relevant sources of wider information, inform national audit priorities. Programmes involve a combination of horizontal audits across all areas of a specific local authority's feed and food law enforcement activity, and focused audits (vertical or partial audits) assess in detail specific aspects of enforcement activity. The audit programmes for FSA are published in advance on the FSA's website.
- 6.7 Audit activities are organised by audit teams in each of the FSA's devolved national offices and in FSS. In Wales, local authorities are subject to full audits as part of a three-year programme. These are supplemented by a programme of focused audits, often in conjunction with other FSA audit teams in England and Northern Ireland. Each programme covers a sample of different types and sizes of authority and the aim is to involve all of them in one of the programmes over time. All local authorities in Scotland are unitary and are visited within the five-year requirement. The Scottish National Database provides an interface between local authorities and FSS, providing 'real time' data in relation to food establishments and official controls delivered. In Northern Ireland, focussed audit programmes are carried out on between three to five local authorities each year.

Dissemination of good practice

- 6.8 All audit teams in the UK aim to disseminate to local authorities, good practice identified through audits. In Wales, good practice is disseminated by the FSA through its local authority support team to local authorities at local, regional and national meetings, to the Expert Panels and through email communications. In Scotland, the audit reports published by FSS highlight good practice. The findings of audits are published in report format on the FSA and FSS's websites. In addition, the findings from audit programmes inform development of national initiatives aimed at improving service delivery. Good practice is disseminated through newsletters, "top tips" documents arising from audit findings, regional feed and food group and SFELC Liaison Group meetings and specific business initiatives. In Northern Ireland, good practice is disseminated through audit reports and the liaison groups detailed in paragraph 4.31.

Independent scrutiny

- 6.9 The FSA's Audit and Risk Assurance Committee provides independent scrutiny of the audit process for all FSA audit teams in England, Wales and Northern Ireland by providing challenge and oversight on the development and implementation of the annual audit programmes, content of audit reports and agreed management actions. In Scotland, independent scrutiny of the audit function is carried out by the FSA Chief EHO. A report is provided to the

Accountable Officer detailing the scrutiny and any shortcomings. The scrutiny report detailing the action to be taken to address any identified shortcomings is then presented to the FSS Audit and Risk Committee. This scrutiny is also through the Audit and Risk Committee for audits of official controls delivered directly by FSS or through third parties under a contractual or service level agreement.

Performance management

- 6.10 In England, Wales and Northern Ireland the performance of local authorities, including port health authorities, is monitored and assessed by the FSA.
- 6.11 A new performance assessment tool – the Balanced Scorecard – is being developed to measure and assess the effectiveness of local authority delivery. The balance scorecard tool will use a range of relevant data sources, including Local Authority Monitoring System (LAEMS) data to generate assessments. This will inform a rolling programme of local authority delivery improvements and corrective actions primarily in relation to delivery targets set out in the Food Law Code of Practice.
- 6.12 Where standards are not met, the FSA works and supports local authorities to develop and implement proportionate and time bound action plans. An escalation process is in place to ensure that improvements are delivered in line with agreed timescales. This process includes appropriate liaison with other relevant government departments and key stakeholders when necessary, to identify and agree a common approach and effective solutions to any significant local authority performance issues identified.
- 6.13 Where local authorities are found to be failing to discharge their functions adequately or failing to meet their statutory obligations to apply the law, the FSA and FSS may consider using powers of direction and default contained in the Food Standards Act 1999, the Food Safety Act 1990 and the Food Safety (Northern Ireland) Order 1991, and also in secondary legislation on food hygiene and on official feed and food controls applying in each of the four UK countries. To date, these powers have not been exercised, as informal approaches have been effective in improving local authority service delivery where necessary.

Audit arrangements where the FSA and FSS has direct responsibility for delivery of official controls

- 6.14 The FSA Audit Assurance Team also has responsibility for audits of official controls where the FSA has direct responsibility for their delivery. These arrangements also cover controls delivered on the FSA's behalf under SLAs or MoUs where these do not expressly provide for audits to be undertaken on behalf of the FSA. The terms of the SLAs and MoUs are considered when carrying out the audits. Good practice is identified and disseminated where appropriate.

- 6.15 Audits of meat hygiene official controls enforced on behalf of the FSA by DAERA (VSAHG) are conducted jointly between the FSA Audit Assurance team and the FSA Northern Ireland audit team. Other controls enforced by DAERA AFIB on behalf of the FSA (such as, liquid milk and eggs) are audited by the FSA Northern Ireland audit team. Currently, FSA in Northern Ireland also conducts audits of DAERA AFIB's feed official control delivery system.
- 6.16 Audit of FSS's delivery of official controls in meat establishments and other non-meat controls delivered directly by FSS is currently carried out by the FSA Audit Assurance Team under an SLA.
- 6.17 The FSA Audit Assurance Team includes veterinarians, Environmental Health Officers and other technical experts, trained in systems auditing and is managed by a qualified auditor who reports to the FSA Head of Audit Assurance. There is also a specialised Audit Team within the FSA in Northern Ireland responsible for audits of DAERA (VSAHG and AFBI) and local authorities whose auditors are trained in systems-based auditing. The team comprises a mixture of auditors and other technical experts. Other experts supplement the teams as and when needed.
- 6.18 The audits determine whether:
- official controls and practices in England and Wales comply with the requirements in the [Manual for Official Controls](#), other relevant guidance, legislation and codes of practice and are meeting the objectives of the legislation
 - DAERA (VSAHG) complies with the [Veterinary Public Health Programme Manual for Official Controls](#) and the relevant legislation
 - FSS operational delivery activity is complying with the [Scottish Manual for Official Controls](#).

Audit process

- 6.19 Audit work includes preparatory work, on-site audit, and post-audit work. On-site the approach involves reality checks through interviews with the relevant FSA/FSS/ DAERA local and port health authority officials, reality checks through observation of official control activities, informal discussion with the food business operator and staff and examination of a sample of relevant records. The evidence gathered is used to assess the effectiveness of control systems.

Reporting arrangements and follow-up

- 6.20 Reports are produced following each audit and/or summarised for each audit programme in relation to audits of local authorities. Each report provides audit findings and includes an action plan which details agreed management action and dates for implementing the actions. The reports are presented to the FSA Chief Executive, Chair of the Audit and Risk Assurance Committee and relevant Directors and in the case of FSS, to the FSS Chief Executive and Chief Operating Officer. A report summarising the status of all audits in the

annual programme and progress on implementation of agreed audit recommendations is presented to the quarterly meeting of the relevant Audit Committee for discussion.

- 6.21 The annual programmes of audits include follow-up audits and progress checks to assess implementation of agreed recommendations.

Transparency

- 6.22 To ensure transparency of the audit process, stakeholders within the FSA are consulted in relation to the annual programme of audits and terms of reference for individual audit assignments. They also have access, as appropriate, to audit checklists and reports, and are afforded the opportunity to comment on reports before these are issued. FSS [publish audit documentation and reports](#).

VMD

Medicated feed and SFAs

- 6.23 Annual inspection returns are made to the Commission via the FSA. The Head of VMD's Inspections and Investigations Team monitors and supervises the work of the other five inspectors and conducts internal audits on performance. Inspection details and outcomes are entered onto the database. Internal audit is conducted by the VMD's external provider.

Veterinary residue surveillance

- 6.24 VMD internal audit is provided by an external provider, requiring audits of all work areas, including veterinary residue surveillance to be carried out once every five years. The VMD is audited against EU legislation requirements and audit arrangements are scrutinised by the Audit and Risk Committee which sees the final reports. Where recommendations for changes are made, follow-up checks are carried out within 12 months of the original audit. The audits also aim to identify good practice.
- 6.25 A programme of on-site audits of all agencies involved in residue sample collection has been drawn up. The VMD monitors performance via its database, which enables actual performance to be checked against KPIs contained in VMD's SLAs with each agency. Depending on level of compliance found it is anticipated that audits will be carried out every two to three years. Where serious shortcomings are detected, an action plan will be required to implement changes and a further audit visit is anticipated once the plan has been completed.
- 6.26 In Northern Ireland, representatives of the analytical services, VSAHG and Food Policy Branch of DAERA and FSA meet monthly to discuss progress of planned samples with their plan and residues related issues. Quarterly reports on overall performance against the plan are provided to the VMD's Director of Operation Division.

- 6.27 APHA collects on-farm samples on behalf of VMD. APHA Technical Team Leaders are informed of any unsatisfactory samples submitted by field staff so that issues can be followed up as appropriate. Reports of investigations of non-compliant test results are copied to the national Lead Veterinary Officer for audit. A national database is maintained of tests undertaken.

Antimicrobial resistance

- 6.28 Auditing of antimicrobial resistance surveillance policy is carried out by external providers in line with the UK National Action Plan on tackling AMR 2019-2024. Collection of caecal samples from healthy animals at slaughter is carried out by the FSA on behalf of the VMD - an SLA is in place detailing the KPIs for sample collection. In addition, isolates obtained from the UK National Control Plans on *Salmonella* are tested for AMR. The FSA also collects retail meat samples for monitoring of AMR in compliance with the Commission Implementing Decision 2013/652/EU.
- 6.29 The APHA carries out all AMR testing on behalf of the VMD and the FSA. Success is measured through submission of resistance data to EFSA in compliance with Commission Implementing Decision 2013/652/EU, through publication in VMD's annual VARSS report, and through KPIs as stated in the SLA. Success of surveillance of antibiotic sales is measured through publication in VMD's annual VARSS report, submission of sales data to the European Surveillance of Veterinary Antimicrobial Consumption project of the European Medicines Agency for inclusion in their annual report, and stake holder feedback.

HSE

- 6.30 HSE's annual pesticide residues monitoring programme is split into four reporting periods. All contracts and SLAs have milestones relating to the control plan timetable for the year. Performance of sample collection bodies is monitored every two weeks. Analytical progress is monitored quarterly when analytical results are peer reviewed.
- 6.31 The CA assigns project managers to monitor performance with controls bodies. Specific personnel are identified as project managers in the delegated bodies. Delivery success against the published timetable of reports is only possible with close co-operation between the CA and the delegated bodies.
- 6.32 HSE has a programme of internal audit, which includes propriety and security in addition to those performed around HSE's various regulatory and financial functions. Audit recommendations are considered by the HSE Chemical Regulation Division's senior management and progress against the recommendations is reviewed on a quarterly basis. HSE accepts the annual UKAS audits as evidence of the technical and organisational capability of the official laboratories.

Defra and its agencies

Defra

- 6.33 At the central level Defra Internal Audit, the devolved administrations and delivery partners have agreed on the assurance and consistency of approach required in their respective areas of responsibility under Regulation (EC) 882/2004.
- 6.34 The Government Internal Audit Agency (GIAA) provides Defra Internal Audit services. GIAA operates in line with the Public Sector Internal Audit Standards and provides an independent appraisal function across the department. Responsibility for commissioning and completion of official controls in areas where Defra has responsibility rests with the respective policy divisions and their delivery agents. The role of Defra Internal Audit is to ensure through a programme of audit activity that the work has been completed and meets relevant standards. Agency audit teams carry out similar work where Defra's Agencies have responsibility for carrying out official controls.
- 6.35 Defra Internal Audit has developed an audit strategy to provide assurance on official control functions for which Defra is responsible. The strategy ensures that all major aspects of this work are fully reviewed on a risk basis. For each piece of work, a report, including any actions/recommendations for improvement is produced and circulated as required. Defra audit reports are presented to the relevant Director General and summarised for the Permanent Secretary and the Defra Audit and Risk Committee.
- 6.36 Audit programmes are drawn up annually on a risk basis and are subject to on-going review. The annual assurance opinions of the various Heads of Internal Audit inform the Defra year end Governance Statements.
- 6.37 Defra Internal Audit co-ordinates production of an Annual Report summarising audit activity and results.
- 6.38 To ensure a co-ordinated approach to audit across the animal health and welfare elements of the MANCP, FSA Internal Audit and Defra Internal Audit arrange meetings with relevant staff from Defra Policy (including its delivery partners APHA, RPA, Fera and VMD), FSA Policy as well as the auditors from devolved administrations. The objectives of these meetings are to ensure consistent audit coverage and to identify best practice.
- 6.39 Defra and FSA Internal Audit have developed an assurance map of official feed and food controls. This clearly sets out the scope of the controls and the organisation responsible for policy and audit of delivery with the purpose of identifying the sources of assurance and supporting the development of the audit programme.
- 6.40 Independent scrutiny of the audit processes for Internal Audit is provided by, and to, the Audit Committee (a sub-committee of the Board) of each organisation.

APHA in England and Wales

- 6.41 APHA has an internal audit programme of official controls co-ordinated in conjunction with Defra to ensure that both policy and delivery aspects are covered. Audits are conducted by the GIAA.
- 6.42 APHA's PHSI activities for imports, plant passporting and surveillance and action are accredited for compliance under ISO 17020 as is Bee health for control of European and American Foulbrood. Each area is also annually reviewed by an internal audit team.
- 6.43 The laboratory side of APHA is accredited to ISO 17025 and has ISO 9001 certification and in specialised areas complies with the principles of Good Laboratory Practice, Good Manufacturing Practice and Good Distribution Practice. There are internal audit arrangements in place.

Cefas

- 6.44 Cefas operates a system of internal control, which supports the achievement of Cefas' policies, aims and objectives. The internal control system has been designed to manage risk to an appropriate level. There is an Audit and Risk Assurance Committee constituted to give advice on the adequacy of internal and external audit arrangements, and on the implications of the assurances provided on internal control and risk management. Regular reports are made by internal audit, to Government Audit Standards, which includes the Head of Internal audit's independent opinion on the adequacy of the Agency's system of governance, internal control and the system of risk management, together with recommendations for improvement.
- 6.45 For Cefas official control duties, auditing is undertaken by UKAS (to ensure accredited standards are being met), management within Cefas (to ensure standards, timelines and objectives are met in line with the requirements in the MoU between Cefas and Defra) and external assessment of performance by the policy lead within Defra and Defra Group Internal Audit team.

Bee laboratory services

- 6.46 The NBU has access to a range of facilities used to support strategic objectives in protecting bee health. Under a long-term services agreement with Fera Science Limited, Defra, the Welsh Government, and the NBU have access to diagnostic capability, namely taxonomic and molecular diagnostics, and residue analysis (pesticides and veterinary medicines).
- 6.47 Fera's quality team conducts periodical internal audits of the NBU's laboratory operation under ISO 9001. The purpose of the Quality Systems team is to ensure that the requirements of the quality systems are maintained, and that the systems are expanded in response to the business needs of Fera. This is achieved by providing guidance to the staff involved on the requirements of the respective regulations, by monitoring that the standards are being

maintained and by the prompt reporting of deficiencies to management by a mixture of informal and formal meetings and reports. The aim is to evaluate continually the processes employed to meet these requirements to provide an effective service more efficiently, competently and in a timely manner. The NBU is aiming to achieve ISO accreditation for their foulbrood controls. The National Bee Unit has achieved ISO 17020 accreditation for control of European and American Foulbrood.

- 6.48 In Scotland, SASA's bee health laboratory operates under a quality assurance system certified to ISO9001; both internal and external audits are carried out regularly and systems are reviewed on an annual basis.

Rural Payments Agency

- 6.49 The GIAA provides the internal audit function across the Defra group, including RPA. GIAA is independent of the business and reports directly to the Accounting Officer. Internal Audit evaluates and gives their opinion on RPA's systems of risk management, control and governance to the Accounting Officer with a view to supporting the preparation of the Governance Statement.
- 6.50 Internal Audit has a robust process in place, which includes agreeing management actions (to mitigate the residual risk of findings made during the audit activity) with the audit sponsor (senior management) and following up all agreed management actions to find out whether they have been implemented. Internal Audit also reports to the RPA Audit and Risk Assurance Committee which reviews workplans, audit reports and agreed management actions.
- 6.51 The main driver for RPA's Internal Audit Unit is internal audit activities as set out in Commission Regulation (EU) No 907/2014 and Council Regulation (EU) No 1306/2013, as most of their audits are planned and delivered in line with those requirements. RPA Internal Audit also meets the requirements of Regulation (EC) No 882/2004 and Commission Decision 2006/677. The internal audit plan covers all significant systems at least once within a five-year timescale and look to give coverage to significant business risks. The Internal Audit Unit also currently has audit responsibility for the BCMS.

Devolved administrations

Scottish Government

- 6.52 Scottish Government Internal Audit Directorate (SG IAD) provides an independent appraisal function across SG ARE which has responsibility for certain official controls functions. As part of its rolling programme of work, SG IAD undertakes regular reviews of controls in the different schemes operated by SG ARE. Annual internal audit plans for the coverage of these schemes, together with reports on the scope and outcome of audit reviews, are considered by the Enterprise and Environment Audit and Risk Committee.

- 6.53 In line with the on-going UK Official Control Mapping exercise, SG IAD's OFFC Strategy and Plan relates specifically to areas where Scottish Government is the OFFC CA. It sets out the methodology and related audit activity for the delivery of audit assurance on the framework of controls established by SG regarding the risks associated with efficient and effective delivery and management of official controls as required under Article 4(6) of Regulation (EC) No 882/2004. The strategy has been developed in line with Public Sector Internal Audit Standards (PSIAS) to which UK government auditors are required to work.
- 6.54 The OFFC control process was initially based on a five-year audit cycle which has, as of 2016/2017 Programme, moved to a risk-based audit selection process. This process was developed through consultations with the Scottish CVO and involves reviewing risk register returns and risk and probability element questionnaires from all OFFC auditable areas. Time since last audit is considered as part of this approach to ensure that each OFFC area is audited at least once during a five-year period in line with the EC audit guidance. The Plan is re-assessed annually to take account of changing risks and priorities. The audit approach and methodology are in line with the responsibilities set out in Article 4(6) of Regulation (EC) No 882/2004 and Article 6 of Regulation (EC) No 625/2017.

Welsh Government

- 6.55 The Assurance and Counter Fraud Division (AACF) which sits within the Permanent Secretary's Group of the Welsh Government, includes the branches of the European Funds Audit team (EFAT) and Internal Audit Services (IAS). Its objective is to deliver a balanced assurance to their Accounting Officers, and its Audit Strategy aims to address areas of risk, including official controls functions.
- 6.56 AACF is responsible for delivering the annual audit plans for the Office of the Chief Veterinary Officer and the Agriculture, Food and Marine Directorate, all of whom sit within the Economy, Skills and Natural Resources (ESNR) Group. Their reports are considered by the Welsh Government and the ESNR Audit and Risk Assurance Committees. AACF operates in line with the PSIAS issued by HM Treasury.
- 6.57 The Head of AACF's aim is to provide the Accounting Officer and each Director General with a sufficient level of audit coverage to enable the provision of a reliable annual opinion on the controls in operation from the systems examined. Each year, AACF revisit the Audit Needs Assessment (ANA) and select the high level and medium risk areas they consider to be most appropriate for inclusion in the annual audit plan.
- 6.58 In Wales, most official control responsibilities are delegated to either APHA, FSA or local authorities. EFAT is responsible for undertaking audit work focusing on the few areas where WG has responsibility as well as some audit work looking at the arrangements in place for oversight of delegated functions. EFAT is currently in the process of working with WG colleagues to

develop a revised five-year OFFC audit plan. The development of this plan will take into account the UK wide review of OFFC assurance systems. Audits will focus on the effectiveness of controls in place, compliance with requirements and the identification of good practice.

DAERA (Northern Ireland)

- 6.59 DAERA inspectors have management checks, based on risk, carried out at local level, HQ level and by both internal and external auditors.
- 6.60 DAERA Internal Audit Unit operates in line with PSIAS and provides an independent appraisal function across the department. DAERA Internal Audit has developed an audit strategy to provide assurance on official control functions for which DAERA is responsible. The strategy will ensure that all major aspects of this work are fully reviewed in risk-based audits at least once during a five-year period.
- 5.61 For each piece of work, a report, including any recommendations for improvements, will be produced for senior management. There is a follow-up to ascertain implementation on all recommendations that are considered priority 1 or where a limited or unacceptable opinion has been provided following an audit review. For all other recommendations, where senior management are content that a follow-up is not appropriate, assurances are sought from the relevant deputy secretary/ director on a six-monthly basis that recommendations have been implemented. Internal Audit also reports to the Audit and Risk Assurance Committee who review annual plans and reports.

Appendix A – Designation of competent authorities in the UK

The table below provides details of the competent authorities in the UK that have responsibility for official controls for feed and food law, and animal health and animal welfare rules.¹⁵ Copies of all [legal instruments](#) are published online.

Department	Relevant legislation	Designated competent authorities
FSA	The Official Feed and Food Controls (England) Regulations 2009 (SI 2009/3255) The Official Feed and Food Controls (England) (Amendment) Regulations 2011 (SI 2011/136)	<ul style="list-style-type: none"> • FSA • feed authorities (local authorities in England with responsibility for feed law enforcement) • food authorities (local authorities in England with responsibility for food law enforcement)
FSA in Wales	The Official Feed and Food Controls (Wales) Regulations 2009 (SI 2009/3376 (W.298)) The Official Feed and Food Controls (Wales) (Amendment) Regulations 2011 (SSI 2011/626 (W.90))	<ul style="list-style-type: none"> • FSA • feed authorities (local authorities in Wales with responsibility for feed law enforcement) • food authorities (local authorities in Wales with responsibility for food law enforcement)
FSA in Northern Ireland	The Official Feed and Food Controls Regulations (Northern Ireland) 2009 (SR 2009/427) The Official Feed and Food Controls (Amendment) Regulations (Northern Ireland) 2011 (SR 2011/48)	<ul style="list-style-type: none"> • FSA • feed authority (DAERA) • district councils
FSS	The Official Feed and Food Controls (Scotland) Regulations 2009 (SSI 2009/446) The Official Feed and Food Controls (Scotland) (Amendment) Regulations 2011 (SSI 2011/93)	<ul style="list-style-type: none"> • FSS • feed authorities (local authorities in Scotland with responsibility for feed law enforcement) • food authorities (local authorities in Scotland with responsibility for food law enforcement)

¹⁵ Where these competent authorities have particular responsibilities for monitoring and enforcing specific pieces of 'feed law' or 'food law' or specific animal health or animal welfare rules, these are set out in the relevant domestic legal measures.

Department	Relevant legislation	Designated competent authorities
Defra - VMD	The Veterinary Medicines Regulations 2013 (SI2013/2033), as amended by SI 2014/599	<ul style="list-style-type: none"> Secretary of State (Defra) - for medicated feed and SFAs
Defra	The Official Controls (Animals, Feed and Food) (England) Regulations 2006 (SI 2006/3472)	<ul style="list-style-type: none"> Secretary of State (Defra) local authorities
Defra - VMD	Commission Implementing Decision 2013/652/EU on the monitoring and reporting of antimicrobial resistance in zoonotic and commensal bacteria	<ul style="list-style-type: none"> Secretary of State (Defra) - AMR
SG ARE	The Official Controls (Animals, Feed and Food) (Scotland) Regulations 2007 (SSI 2007/91)	<ul style="list-style-type: none"> Scottish ministers local authorities
WG NR	The Official Controls (Animals, Feed and Food) (Wales) Regulations 2007 (SI 2007/196) (W 15)	<ul style="list-style-type: none"> Welsh government ministers local authorities
DAERA	The Official Controls (Animals, Feed and Food) Regulations (Northern Ireland) 2007 (SR 2007/133)	<ul style="list-style-type: none"> DAERA district councils

Appendix B – Food Standards Agency (FSA) and Food Standards Scotland (FSS)

1. This appendix provides information on the role of FSA and FSS in delivering official controls.

Meat hygiene

Roles and responsibilities

2. The FSA and FSS are responsible in GB for official controls in approved meat premises, including meat hygiene requirements and regulations on the welfare of animals at slaughter. They are responsible for verifying that food business operators comply with public health and animal health and welfare legislation in approved meat premises. Where necessary the FSA and FSS take proportionate enforcement action.
3. Lists of approved premises can be found on the [FSA](#) and [FSS](#) websites.

Official control activities

4. In England and Wales approval assessments are carried out by Field Veterinary Leaders and recommendations made to the Head of Regulatory Delivery and Operational Transformation. Field Veterinary Leaders are qualified veterinary surgeons with specific expertise in the structural, equipment and operational requirements applying to meat establishments.
5. Similar arrangements are in place in Scotland, approval assessments are carried out by Area Veterinary Managers and recommendations made to the Chief Operating Officer. Audits of food business operator compliance are conducted by fully qualified Veterinary Auditors who are separate from routine field operations.
6. In Northern Ireland, approval assessments are carried out by equivalent staff from the FSA, accompanied by DAERA Divisional Veterinary Officers responsible for fresh meat establishments.
7. The FSA and FSS provide meat inspection services 24 hours a day, 365 days a year, provided a food business operator has given due notice of requirements. The principal functions are official controls relating to:
 - fresh (red) meat, poultry meat, farmed game meat and wild game meat
 - meat products, minced meat and meat preparations in premises co-located with a premises requiring veterinary audit
 - rules on Specified Risk Material (SRM) – for more details see the [DG SANTE Control Systems](#).

8. The FSA and FSS carry out routine [audits of approved meat establishments](#) (slaughterhouses, cutting plants and game handling establishments) in GB. In Northern Ireland these audits are carried out by DAERA on behalf of the FSA. Audits have two main aims:
 - to make sure food business operators are complying with food law requirements
 - to ensure that food business operators are meeting relevant standards in relation to public health; and in slaughterhouses, animal health and welfare.
9. The principal functions that the FSA and FSS perform on behalf of Defra and the devolved administrations are:
 - enforcement of animal welfare at slaughter legislation in approved abattoirs
 - identification of ABP, carried out by:
 - FSA Operations Group on behalf of Defra
 - FSS on behalf of SG
 - DAERA in Northern Ireland
 - collection and dispatch of samples for statutory veterinary medicines residue testing on behalf of VMD
 - collection and dispatch of samples from cattle, sheep and goats for TSE examination and testing
 - enforcement, in premises, of emergency controls related to animal disease outbreaks
 - supervision of the collection and dispatch of samples from bovines for BSE examination and testing
 - enforcement, in licensed premises, of emergency controls related to animal disease outbreaks
 - compliance with cattle Identification regulations on behalf of the BCMS.
 - In Northern Ireland DAERA has responsibility for the above functions.
10. Meat hygiene official controls are partially financed through charges levied on food business operators and recovered from government agencies under SLAs, and through funding provided centrally by the FSA and FSS.
11. The [Manual for Official Controls](#) (MOC) ([England and Wales](#) /[Scotland](#)) details the tasks, responsibilities and duties undertaken in approved establishments, and reflects the requirements set out in Regulation (EC) No. 882/2004. It documents the procedures to be followed when undertaking official controls, for recording and reporting outcomes, and taking action whenever non-compliance with legal requirements is found. A separate [MOC](#) applies in Northern Ireland. This is maintained by DAERA and details similar tasks, responsibilities and duties to those detailed in the FSA MOC.
12. Inspection teams follow the FSAs and FSSs Enforcement Policies, which set out the principles of enforcement and standards to be applied when carrying out enforcement work.

Monitoring and audit of control activities

13. A senior FSA management team meets monthly to review operational performance. Strategic issues for England, Wales and Northern Ireland are considered by the Executive Management Team and policy issues by the FSA Board. Performance is monitored at all levels and reported quarterly to the FSA Board. Monthly performance reporting presents the overall picture and can be drilled down to determine performance at a local level.
14. In Scotland, FSS has similar monitoring arrangements in place, whereby operational performance is reviewed at monthly Operational Management Team meetings and at senior operational management team meetings.
15. In Northern Ireland, DAERA VSAHG provides a similar service on behalf of the FSA under a SLA. Detailed information on DAERA can be found at [Appendix F](#).
16. Enforcement of SRM controls in approved slaughterhouses and cutting plants is carried out by the FSA in England and Wales, FSS in Scotland and DAERA on behalf of the FSA in Northern Ireland. Further information on SRM can be found in the [Country Profile](#).
17. The UK Delivery Group ensures a collaborative and consistent approach to the development and delivery of official controls across the feed and food sectors and food business operator compliance, in the interest of protecting consumers across the UK.

Dairy hygiene

Roles and responsibilities

18. Dairy hygiene inspections in England and Wales are carried out by the FSA through a team of full-time dairy inspectors supported by inspectors that undertake meat inspection duties as well as dairy functions. The full-time team reports directly to the Lead Dairy Hygiene Inspector (DHI) who in turn reports to the Dairy Operational Lead. The Lead DHI provides technical advice and support to the whole dairy inspection community. In Northern Ireland inspections are carried out by DAERA on behalf of FSA through a SLA. These inspections are undertaken by full-time dairy inspectors, reporting to a Senior Dairy Hygiene inspector. FSA provides technical advice and support to this team.
19. FSS has no direct enforcement role for dairy hygiene in Scotland, this role is fulfilled by local authorities who carry out official controls in accordance with the Food Law Code of Practice.

Official control activities

20. The FSA protects the milk supply by ensuring a satisfactory standard of hygiene is maintained on farms in England and Wales. The FSA does this by monitoring and verifying compliance with and enforcing food hygiene legislation at milk production holdings. This includes all premises producing raw milk, the registration of production premises (dairy farms), inspection of milking premises, equipment and milk-producing animals, and enforcing satisfactory standards.
21. In England and Wales, FSA operates a sampling programme for premises providing Raw Cow's Drinking Milk (RCDM) direct for human consumption in line with national food hygiene legislation. Samples are tested by ALS Eclipse which reports back directly to the FSA. From June 2019 testing of samples will be conducted by Public Health England (PHE). Sampling of non-cow raw drinking milk is the responsibility of individual local authorities. In Northern Ireland the raw drinking milk sampling programme is operated by DAERA and samples, including non-cow raw drinking milk, are tested by Agri-food Inspection Branch and reported to DAERA.
22. The FSA maintains a database of all dairy producers in England, Wales and Northern Ireland.

Monitoring and audit of control activities

23. To ensure all enforcement is proportionate and risk-based the Lead DHI quality checks enforcement actions before authorising them for return to the food business operator. The Lead DHI makes further quality checks of the dairy hygiene inspection reports and corrective action reports on a random sample basis to ensure that advice is consistent and in line with the FSA's core principles.
24. The Lead DHI and field operations staff routinely discuss workloads and the general approach to the inspection process. This is through information sharing and one to one coaching sessions, as required, to ensure consistency through education and information. The Lead DHI undertakes quarterly group consistency training so that the team has an opportunity to discuss practice and evaluate actions through knowledge sharing.
25. A number of Veterinary Field Leaders (VFLs) are trained in dairy inspection and operate alongside the full-time DHI inspection team. The Lead DHI or an appropriately experienced DHI accompanies the field-based team on joint visits to ensure consistent interpretation of the approach to compliance.
26. The Dairy Operational Lead, the Lead DHI and the Dairy Veterinary Field Leader review and monitor performance in the field. KPIs have been established to review the efficiency and quality of the dairy hygiene inspection function. These have been incorporated into the field operations performance dashboard.

27. For further information on audit arrangements please see [Chapter 6](#).

Natural mineral water

28. Recognition of natural mineral water from sources in the UK is granted by the relevant local authority. Where a local authority decides not to grant recognition or to withdraw recognition of a natural mineral water, the business may request a review of the decision. This review will be carried out by the FSA in Wales and Northern Ireland and FSS in Scotland. In England, Defra has this responsibility.
29. The FSA has direct responsibility for the assessment of any application made in Wales and Northern Ireland for the recognition of a natural mineral water source located in a non-EEA country under Directive 2009/54. FSS is responsible for the assessment of any applications made in Scotland and Defra in the case of an application made in England (see [Appendix C](#)). If the non-EEA source meets the requirements it is awarded recognition and details are published in the Edinburgh, Belfast and London Gazettes and the list held in GOV.UK of recognised natural mineral waters in the UK is updated. Defra informs the Commission.

Genetically modified (GM) feed and food

30. The FSA has policy responsibility for the safety and applications to market GM feed and food products in England, Wales and Northern Ireland in accordance with Regulation EC (No) 1829/2003. In Scotland, this responsibility is covered by the FSS. Local authorities are responsible for the enforcement of feed and food containing GM which fail to meet labelling requirements or are not of authorised GMO source. Port health authorities also conduct GM controls as part of import controls.

Inspection and approval of food irradiation facilities

31. The FSA has direct responsibility for the inspection and approval of food irradiation facilities in the UK under [Directive 1999/2/EC](#). The procedure for approval of a food irradiation facility is detailed in the [Food Irradiation \(England\) Regulations 2009](#) with parallel legislation in Scotland, Wales and Northern Ireland. Enforcement of legislation relating to irradiated food, such as labelling regulations and import controls, is the responsibility of local and port health authorities. Annual reports are submitted to the Commission.

Appendix C - Department for Environment, Food and Rural Affairs (Defra)

Roles and responsibilities

1. Defra has responsibility for animal health, animal welfare and plant health controls and certain elements of feed and food law (in the devolved administrations these functions fall to SG ARE, WG EERA and DAERA). The department operates most of its official controls through its agencies and local authorities, as set out below and in the appendices that follow.

Official control activities

Feed and food

2. Responsibility for monitoring and verifying compliance with, and enforcement of feed and food law is shared between Defra, its agencies and local and port health authorities, as set out below.

Organic food

3. Organic food produced within the EU must originate from growers, processors and importers who are registered with an approved organic control body and subject to regular inspection. In the UK, Defra has responsibility for the organic inspection and certification system. Certification is undertaken by approved organic control bodies which must meet the requirements of (be accredited to) the European Standard on general requirements for bodies operating product certification systems (ISO 17065). They must also comply with the control requirements set out in the EU Organic Regulations (Council Regulation (EC) No 834/2007 and Commission Regulation (EC) No 889/2008).
4. At local level, local authorities enforce the rules as it is an offence if produce is incorrectly labelled as 'organic'. Defra also works closely with PHAs which are responsible for endorsing Certificates of Inspection from approved organic control bodies certifying imported organic produce that accompany consignments, and for ensuring that the importer is registered with an approved control body.
5. There are currently [eight approved control bodies](#) involved in the control of organic production in the UK. Defra's Organic Team is responsible for approving these bodies in accordance with its Organic Certification Body and [Inspection Approval Control Manual](#) (which is currently under review). The findings are reported to the control body and can result in withdrawal of certification status if significant problems are identified. In addition, the UK Accreditation Service (UKAS) carries out annual audits of the inspection and certification activities of the approved bodies and failure to receive

confirmation from UKAS of compliance with ISO17065 will also result in a certification body's approval being withdrawn.

6. Defra provides an annual report on organic production, inspection and certification in the UK to the Commission. This includes a list of operators and organic inspection bodies operating in the UK along with a report on supervision and compliance with ISO17065. The report also includes a description of the inspection system along with details of supervision visits to the inspection bodies.

Protected food names

7. Defra is responsible in the UK of the protected food names scheme set out in [Regulation \(EU\) No. 1151/2012](#). This scheme provides a system for the protection of food names on a geographical or traditional recipe basis. This scheme has three designations (Protected Designation of Origin, Protected Geographical Indication and Traditional Speciality Guaranteed) which highlight regional and traditional foods whose authenticity and origin can be guaranteed through an independent inspection system.
8. Defra as the CCA has ultimate UK responsibility for deciding whether applications meet the scheme criteria. For England, Defra is also responsible for handling applications with producer input, up to national consultation stage. In Wales this function is carried out by ADAS and in Scotland by SAC Consulting. In Northern Ireland the work is managed by DAERA. At the retail level enforcement is carried out by local authority inspectors.
9. As of March 2019, the UK has 77 [protected food names](#). Products range from being made by only one producer (such as, Dorset Blue) to those produced by thousands of producers (such as, Welsh Lamb). Once registered, all products are subject to inspection on a risk analysis basis.
10. To ensure product specifications are met applicants must nominate an inspection body to undertake this function. Private inspection bodies must be independently accredited and audited by UKAS against ISO/IEC 17065:2012. Where a local authority (Trading Standards Service) is undertaking this role, it must be able to demonstrate that it is able to comply with the principle of this standard. Defra is responsible for monitoring their performance. UK local authorities also have an enforcement role in ensuring that registered food names are not used fraudulently and that general food labelling rules are complied with. In January 2019, The Quality Schemes (Agricultural Products and Foodstuffs) Regulations 2018 entered into force. These new regulations provide improvements to the enforcement of products protected under this scheme by introducing a civil sanction enforcement regime.

Beef labelling

11. Beef offered for sale must be fully traceable and compulsory country of origin, slaughter and cutting indications must be shown. The rules apply to all fresh and frozen beef and veal offered for sale at all stages in the supply chain from slaughterhouse to sale to the final consumer, in accordance with [Regulation \(EC\) No. 1760/2000](#). Meat of bovine animals aged less than 12 months must be classified on slaughter with the appropriate age category identification letter 'V' or 'Z' and labelled with the relevant sales description of the member state. Defra, the RPA and the Agriculture/Rural Affairs Departments in the devolved administrations are responsible for developing and implementing the relevant legislation and guidance on the schemes is available: [RPA](#), [Scottish Government](#) and [DAERA](#).

12. On official controls relating to beef labelling, there are now two aspects - enforcement of compulsory beef labelling as outlined in Regulation (EC) No 1760/2000 and the enforcement of voluntary beef labelling under Regulation (EC) No 1169/2011. Responsibility is shared as follows at abattoirs, cutting plants, approved cold stores and catering butchers:

Compulsory beef labelling

- **England and Wales:** Premises licensed to slaughter cattle and/or cut beef by the FSA (abattoirs, cutting plants or catering butchers), are inspected by the RPA's technical inspectors on behalf of Defra
- **Scotland:** by the Scottish Government's meat and livestock inspectors
- **Northern Ireland:** by DAERA AFIB Inspectors at abattoirs and EU approved cutting plants and slaughterhouses and by local authorities in other cold stores

Voluntary beef labelling

- local authorities across the UK.

13. Controls on beef imported into the UK are the responsibility of PHAs in GB. DAERA VS is responsible in Northern Ireland.

14. Defra and the Agriculture / Rural Affairs Departments in the devolved administrations are responsible for veterinary checks and animal health aspects of import controls of animals and animal products. The official controls or checks are carried out at BIPs which must meet standards and follow procedures set out for them in [Council Directive 97/78/EC](#) and [Council Directive 91/496/EC](#). Responsibility for carrying out these checks in GB is devolved to APHA for live animals and at ports which do not handle food. Local and port health authorities are responsible for checks on animal products including POAO for human consumption, animal by-products not intended for human consumption and germinal products (embryos, ova and semen). In Northern Ireland, responsibility for fish and fishery products has been devolved to district councils with responsibility for all other POAO imports remaining with DAERA.

15. Defra's Imports and EU Trade team is responsible for the policy aspects of the veterinary checks regime. BIPs are operated by local authorities and APHA.

The operation of local authority run BIPs is monitored by APHA through a programme of liaison visits and compliance checks relating to animal and public health issues. Reports of these visits are sent to Defra and the FSA to enable them to monitor overall standards at BIPs and progress in dealing with problems. Similar audits are carried out for BIPs operated by the APHA.

16. UK Border Force is responsible for delivery of anti-smuggling controls to combat illegal imports of POAO at points of entry into GB. This includes imports of POAO that breach the concessions applicable to goods carried in travellers' baggage for personal consumption and personal consignments sent by post to private individuals, as well as freight. DAERA is responsible for controls in Northern Ireland. Her Majesty's Revenue and Customs (HMRC) National Clearance Hub ensures that all POAO/animals have been issued with a valid Common Veterinary Entry Document before the consignment is customs cleared.
17. Defra has direct responsibility for the assessment of any application made in England for the recognition of a natural mineral water source located in a non-EEA country under [Council Directive \(EC\) 2009/54/EEC](#). FSA holds the responsibility for applications made to Wales and Northern Ireland and FSS for applications made in Scotland.
18. If Defra, FSA or FSS considers that the non-EEA source meets the requirements, it is awarded recognition and its details are published in the London, Edinburgh and Belfast Gazettes and the list of recognised natural mineral waters in and by the UK held in GOV.UK is updated. The European Commission is also informed. The period of recognition lasts five years and extensions are granted before the five-year period lapses, upon confirmation from the non-EEA CA, that the natural mineral water complies with EU requirements.
19. Defra and the devolved Agriculture/Rural Affairs Departments are responsible for the development and implementation of legislation on animal feed related to animal disease (TSEs, *Salmonella*). Enforcement of that legislation in GB is a matter for local authorities in liaison with APHA. In Northern Ireland, DAERA enforces feeding stuffs legislation.
20. For environmental affairs that relate to GMOs, Defra and respective devolved administrative bodies are responsible for this area, including the deliberate release of GM propagating material.

Monitoring and audit of control activities

21. The Government Internal Audit Agency (GIAA) provides Defra Internal Audit services. GIAA operates in line with the Public Sector Internal Audit Standards and provides an independent appraisal function across the department. Responsibility for commissioning and completion of official controls in areas where Defra has responsibility rests with the respective policy divisions and their delivery agents. The role of Defra Internal Audit is to ensure through a

programme of audit activity that the work has been completed and meets relevant standards. Agency audit teams carry out similar work where Defra's agencies have responsibility for carrying out official controls.

22. For further information on audit arrangements please see [Chapter 6](#).

Appendix D - Scottish Government Agriculture and Rural Economy Directorate (SG ARE)

Roles and responsibilities

1. The Scottish Government has responsibility for application in the areas of animal health, animal welfare and plant health controls, while FSS has overall responsibility for the application of the feed and food elements of the Regulation (EC) No 882/2004.
2. Many aspects of official controls where the Scottish Government is the CA are administered or undertaken by delivery partners, such as the Animal and Plant Health Agency and local authorities. However, the Scottish Government retains overall responsibility for this work, particularly to ensure that it is conducted in compliance with the requirements of the Regulation.

Official control activities

3. In Scotland the official controls for feed and food controls are in the main delegated to local authorities who, along with Scottish Government staff, carry out inspections on farms and at markets. Arrangements are in place for joint working across the departments to ensure there is a consistent approach.
4. Inspectors and other officials involved in verifying compliance are trained in accordance with Article 6 of Regulation (EC) No 882/2004. Annual checks are undertaken to ensure officers are correctly trained and authorised.

Monitoring and audit of control activities

5. The EC audit guidance states that adequate coverage of official controls areas is required of a period not exceeding five years. The Scottish Government Internal Audit Directorate (SG) has created a separate audit strategy and a rolling programme to ensure that all key aspects of the official food and feed control areas are reviewed through a risk-based audit at least once during the five-year cycle of the strategy. To comply with Public Sector Internal Audit Standards (PSIAS), the SG Internal Audit Directorate (IAD) is an independent appraisal function which examines and evaluates the Scottish Government's activities. All work must also comply with process and procedures set out in the Internal Audit Manual. IAD reports on the adequacy and effectiveness of internal control systems, and on compliance with those systems to the Scottish Government Audit and Assurance Committee (SGAAC).
6. For further information on audit arrangements please see [Chapter 6](#).

Appendix E - Welsh Government, Environment Energy and Rural Affairs (WG EERA)

1. The WG EERA has similar responsibilities to Defra within Wales. The Welsh Government carries out most of its official controls through its own inspectorates, although occasionally use bodies such as APHA and Natural Resources Wales (NRW).

Rural Inspectorate for Wales (RIW)

Roles and responsibilities

2. RIW is part of Rural Payments Wales, which administers the Common Agricultural Policy (CAP) Direct payment Scheme, and Rural Development Agri-environment and Forestry Schemes in Wales and manages all aspects of accreditation as Paying Agency in line with the governing European regulatory requirements.
3. The RIW undertakes a range of on-farm inspections, primarily for CAP schemes, but also some inspections relating to official controls like, cattle identification inspections to validate the UK's cattle tracing database and sheep and goat identification inspections. Other duties include the inspection of Trader Based Schemes.

Official control activities

4. The RIW carries out standalone statutory inspections under the Bovine Animals and Sheep and Goat Records, Identification and Movement Orders to ensure farmers and traders maintain appropriate records and conform to the animal identification and movement requirements. Inspectors check compliance by undertaking a physical inspection and examination of the livestock, records and supporting documentation to ensure a comprehensive traceability system is in place and therefore verify, in the case of cattle, the validity of the Cattle Tracing Service.
5. Inspectors have powers to seize or amend cattle passports, take copies of records, place whole herd or individual restrictions on non-compliant animals and if necessary, serve a notice to slaughter unidentified animals.

Monitoring and audit of control activities

6. RIW has in place a detailed process for monitoring and auditing the quality of its work. Further information on audit arrangements for RIW is provided in [Chapter 6](#).

Appendix F - Department of Agriculture, Environment and Rural Affairs for Northern Ireland (DAERA)

Roles and responsibilities

1. DAERA is responsible for official controls on all feed law in Northern Ireland, mirroring the activities of FSA, local authorities, Animal Health and VMD in GB. DAERA is also responsible for monitoring compliance with and enforcement of animal health and animal welfare legislation in Northern Ireland. In addition, DAERA mirrors the official control activities of the Plant Health and Seeds Inspectorate in GB. More information on this function is provided at [Appendix H](#) which details the make-up of the UK's Plant Health Service.

Official control activities

Feed and food

2. DAERA carries out feed controls undertaken by local authorities, APHA and the VMD, in GB. DAERA AFIB is responsible for approving and registering feed businesses and for checks to ensure that they comply with the requirements of feed legislation, and that for medicated feeds, and GM organisms. AFIB also undertake inspection and sampling duties on behalf of DAERA VSAHG in relation to TSEs but the VSAHG are responsible for approval of premises for the use of Processed Animal Protein (PAP).
3. A database of premises is maintained and enables inspection and sampling plans to be drawn up. Feeds produced by all manufacturers are subject to sampling and analysis determined on a risk basis taking into account various factors such as levels of production, previous history and nature of the product. The majority of samples of feed are analysed by the AFBI in line with a Sampling and Analysis Agreement drawn up between DAERA and AFBI, but a significant number are also analysed by the Agricultural Analyst through specific targeted sampling surveys.
4. VSAHG is responsible for the controls on feed imposed by the Transmissible Spongiform Encephalopathies Regulations (Northern Ireland) 2010.
5. DAERA AFIB verifies compliance with food hygiene legislation on behalf of the FSA in milk production units and approved liquid milk premises, and all other primary production units (except fish and shellfish which are the responsibility of the district councils).
6. DAERA AFIB on behalf of the FSA delivers official controls of food hygiene legislation at egg production units and packing stations.

7. VSAHG verifies compliance with food hygiene legislation SRM controls on behalf of the FSA in approved meat premises, except meat product and standalone meat preparation premises where enforcement is carried out by district councils.
8. Imported feed and food, controls include documentary checks on manifests, identity checks on consignments/containers and physical checks, such as the taking of samples for analysis and/or examination. The level, focus and frequency of these controls is risk based and informed by various factors, such as EU safeguard measures, RASFF notifications and local intelligence and priorities. Enforcement of imported food controls by inland district councils is carried out as part of their range of food law enforcement responsibilities. This will include examination of foodstuffs during food premises inspections, routine and programmed sampling and analyses, and responding to food complaints or concerns.
9. BIPs control activities on imported feed and food of animal origin include:
 - checking of manifests to confirm that POAO have been correctly notified
 - documentary checks, including the examination of veterinary certificates accompanying a product
 - identity checks by visual inspection to ensure that documents provided for veterinary inspection tally with the product
 - physical checks on products, including sampling and laboratory testing.
10. Information regarding non-compliant products and the onward movement of third country products from BIPs is passed to control authorities in other member states using the TRACES computer system.
11. Animal health and animal welfare control methods differ according to which area is being covered and instructions for VS staff are available for each area. Resources are allocated based on control priorities and the degree of risk. Risk registers are maintained by the VSAHG and by the Animal Health and Welfare Division.
12. The VSAHG is responsible for:
 - delivering government policy on animal health and animal welfare. It conducts surveillance for endemic statutory diseases and the majority of VSAHG work is focussed on the prevention, detection and management of animal diseases in livestock. This helps to support the livestock industry and allow it to continue to compete internationally. It also protects the human food chain
 - protecting public health by administering and delivering agreed policies for public health, such as controlling bovine TB through herd testing, culling and other measures
 - preventing outbreaks of exotic animal disease by controlling the disease on the ground and implementing agreed control measures
 - a programme of inspections and sampling to ensure the welfare of animals. This includes checking farms, markets and animal during

transport and at abattoirs to ensure that conditions are appropriate and that animals are not suffering cruelty, or unacceptable levels of stress or discomfort

- import controls at BIPs.
13. DAERA AFIB Feed Procedures are closely aligned with the Feed Law Code of Practice that has been issued in GB (see [Appendix N](#)). The procedures are electronically available to all staff involved in official feed controls via the DAERA intranet. These instructions cover the enforcement of feed legislation on a range of businesses including importers, hauliers, feed mills, distributors and farms and include instructions and reporting forms for audits and sampling control activities. The procedures are reviewed and updated regularly using a controlled document issue procedure and their publication on the DAERA intranet ensures the most up-to-date version of any document is available for inspectorate staff.
 14. DAERA AFIB works in accordance with the principles of the Food Law Code of Practice (Northern Ireland) and associated Practice Guidance. It also has documented operating instructions which are electronically available to all staff involved in official controls. These instructions cover the enforcement of food hygiene legislation on dairy farms and in processing plants. Operating instructions for sampling are also documented. These are reviewed and updated regularly using a controlled document issue procedure. They are published on the DAERA intranet.
 15. DAERA AFIB has operational guidance that sets out the tasks and procedures to be followed by its inspectors. This includes information on the frequency of controls, use of equipment and the arrangements for reporting the outcome of official controls, and action in the case of non-compliance. A comprehensive reporting system is also in place, covering all inspections from production, packing and retail establishments.
 16. The VSAHG has a MOC similar to that of FSA (see [Appendix B](#)).

Animal health and animal welfare

17. Detailed guidance regarding tasks to be undertaken, along with roles and responsibilities for VS staff and veterinary contractors, is provided as Staff Instructions via DAERA's Intranet and Document Management System. This is updated continuously to reflect current policy instruction. This documents all procedures to be undertaken for the recording and reporting of required official controls. Instruction is provided on the necessary action to be undertaken when non-compliance is identified, and enforcement is required.

Monitoring and audit of control activities

18. DAERA Internal Audit Unit operates in line with PSIAS and provides an independent appraisal function across the department. DAERA Internal Audit has developed an audit strategy to provide assurance on official control functions for which DAERA is responsible. The strategy will ensure that all major aspects of this work are fully reviewed in risk-based audits at least once during a five-year period.
19. For further information on audit arrangements please see [Chapter 6](#).

Appendix G – Animal and Plant Health Agency (APHA)

Roles and responsibilities

1. APHA works to safeguard animal and plant health for the benefit of people, the environment and the economy.
2. APHA is responsible for:
 - identifying and controlling endemic and exotic diseases and pests in animals, plants and bees, and surveillance of new and emerging pests and diseases
 - scientific research in areas such as bacterial, viral, prion and parasitic diseases and vaccines, and food safety; and act as an international reference laboratory for many farm animal diseases
 - facilitating international trade in animals, POAO, and plants
 - protecting endangered wildlife through licensing and registration
 - managing a programme of apiary (bee) inspections, diagnostics, research and development, and training and advice.
 - regulating the safe disposal of animal by-products to reduce the risk of potentially dangerous substances entering the food chain
3. The requirement to protect public health underpins many of the activities of APHA and much of its resource is spent administering and delivering agreed policies for public health, such as controlling bovine TB through herd testing, culling and other measures. There is close collaboration with other agencies such as PHE and the FSA.
4. APHA conducts surveillance for endemic and statutory diseases and the majority of its work is focussed on the prevention, detection and management of animal and plant diseases.
5. In fulfilling its responsibilities APHA works closely with its delivery partners and stakeholders to maximise the effectiveness of government animal health and welfare policy.

Official control activities

6. APHA is responsible for ensuring compliance with the prohibition on the use of most animal proteins in ruminant feed and PAPs in farm animal feed. [Feed ban requirements](#) are part of a range of measures to guard against TSEs and exotic notifiable diseases.
7. APHA carries out a risk-based programme of inspections based on inspection requirements in Regulations (EC) No 999/2001 and (EC) No 882/2004. Surveillance for illegal use of catering waste and diversion of organic

fertilisers and soil improvers into animal feed are also covered in this programme. The programme, the National Feed Audit, covers feed businesses throughout the animal feed chain including at import, production, haulage, storage and at end-user premises. Samples of feed ingredients and manufactured feeds are collected and analysed by the NRL for the presence of animal proteins. On finding animal proteins in animal feed, an investigation is conducted to determine whether the findings breach the TSE regulations. If a breach of the TSE regulations is likely to have occurred, further investigations are initiated to determine the cause and extent of the breach.

8. APHA has a role in inspecting and approving establishments to use restricted proteins like fishmeal in non-ruminant feed production and to permit finished product containing these restricted proteins to be used on farms with ruminants present.
9. Prosecutions are the responsibility of local authorities, although there is provision in the legislation for Agriculture/Rural Affairs Departments to take on prosecutions in particular cases. However, in the event of an infringement, APHA will usually advise and assist local authorities (normally Trading Standards Services) and may serve Notices to prevent the movement of ruminant animals or animal feed and require the recall or destruction of suspected feed. For incidents involving TSE-susceptible animals that have had access to feed material containing banned animal proteins, risk assessments are completed by APHA to inform decision-making on the fitness of animals, which have had access to such contaminated feed, to enter the food chain.
10. During 2018 to 2019, the Field Activity Programme working on behalf of Defra's FFaB system, began to focus on the roll out of the Field Service Management (FSM) tool to support APHA's delivery of field activity. FSM is providing automated work allocation and in field data capture functionality for a number of key APHA work areas, and is now in use for animal by-products inspections, poultry meat marketing, egg marketing, avian influenza survey eligibility checks and international catering waste.
11. APHA undertakes responsibilities and functions relating to the official controls required for animal health and animal welfare, under agreed working arrangements with local authorities; the devolved administrations, HMRC, Border Force and others.
12. In undertaking these controls, APHA carries out the function of detecting and responding to any outbreak of endemic or exotic animal disease, within its remit and detailed departmental contingency plans. The contingency plan includes an overarching plan for dealing with a range of endemic and exotic animal diseases as well as plans for responding to specific notifiable diseases including Foot and Mouth Disease, Avian Influenza, Rabies and Bluetongue.
13. The principal control activities are to enforce primary production hygiene requirements at egg production premises. APHA inspect these premises on behalf of the FSA. Inspections are carried out to enforce the satisfactory

standards of the premises, equipment, range areas, birds and records. APHA also provides [guidance and advice](#) to businesses on compliance with the legislation.

14. FSS appoints Scottish Government officers from SG RPID to be authorised officers under relevant domestic legislation to enforce primary production egg hygiene requirements.
15. Detailed guidance regarding tasks to be undertaken, along with roles and responsibilities for APHA staff and veterinary contractors, is provided by operating instructions referred to as the Operations Manual. The various chapters within the Operations Manual are available to APHA staff via the local intranet facility. This is updated continuously to reflect current policy instruction. This documents all procedures to be undertaken for the recording and reporting of required official controls. Instruction is provided on the necessary action to be undertaken when non-compliance is identified and enforcement is required.
16. Formal enforcement including prosecution is the statutory obligation of local authorities in almost all the legislation in which APHA staff are involved. In some cases (for example, where it may involve an area of national interest) investigation and enforcement may be carried out by the Defra Investigation Service.

Monitoring and audit of control activities

17. All required information is recorded on IT systems developed for APHA. Reports are regularly extracted from data supplied providing results for both national and local requirements. Operational reports are produced monthly for all APHA activity and targets. These reports are shared internally within APHA and externally and to the devolved administrations. Shortfalls in delivery are discussed and remedial action plans are developed to ensure that any shortfall in control visits is rectified. An annual report is produced giving details of targets and accounts, which is posted on the APHA website for general access.
18. APHA staff undertaking official control activities are assessed annually as part of their staff performance assessment on the quality and consistency of the controls that they carry out. APHA has implemented a framework to include management checks of both field and office control activities. APHA is working with its Internal Auditors and other bodies to develop a programme of audit work which will meet the requirements of Regulation (EC) No 882/2004. Procedures are also being developed to ensure the audit process is transparent, subject to independent review and ensuring action is taken in response to audits in accordance with EU legislation.
19. For further information on audit arrangements please see [Chapter 6](#).

Appendix H - UK Plant Health Service

Roles and responsibilities

1. The UK Plant Health Service is responsible for official controls on measures to protect plant health set out in [Council Directive 2000/29](#). The Service comprises a number of units which co-operate together to provide plant quarantine and plant certification services in the UK. Details of the individual units are explained below:
 - **The Plant Health Policy Team:** part of Defra, within the Directorate for Animal and Plant Health and Welfare. It has policy responsibility for plant quarantine, plant certification and plant reproductive material in England and with the associated Risk and Horizon Scanning team provides the lead for the UK in international meetings. It is the 'Single Central Authority' for plant health in the UK under EU legislation.
 - **APHA's Plant Health and Seeds Inspectorate (PHSI):** carry out import, export, monitoring and survey inspections, issue phytosanitary certificates, oversee import controls, plant passport arrangements, eradication campaigns, and issues scientific licences for work on prohibited pests and plants. The PHSI inspect and certify crops in relation to statutory and voluntary schemes, and also carry out work on seed certification and enforcement for Defra's Plant Variety and Seeds Team.
 - **The Forestry Commission in England and Scotland:** issues licences for scientific work on prohibited forest tree pests and plants and phytosanitary certificates for wood products and represents forestry interests in certain international fora. Laboratory services for forestry pests and diseases are provided by Forest Research (FR), an Agency of the Forestry Commission. FR provides scientific advice on the control of pests and diseases carries out pest risk assessments and provides an identification service for pests and diseases intercepted at points of entry or at forest survey sites. It is also the official forest tree testing station for GB and represents forestry interests in certain international fora.
 - **Scottish Government Agriculture and Rural Economy (SG ARE):** responsible for [plant health issues within Scotland](#), except those in relation to pests of forest trees and wood. The Scottish Government provides policy advice on plant health, plant and seed certification, and plays a major part in UK representation on matters relating to seed potato certification.

Official control activities

2. Plant Health and Seeds Inspectors in England and Wales and their equivalents in Scotland and Northern Ireland carry out inspection of imports and exports, as well as general surveillance and monitoring of growing crops and other articles moving in trade. Inspections are structured according to the risk presented by any given commodity being imported or plant being grown. Legislation requires the carrying out of specific surveys for a large number of pests and diseases. This work is arranged according to the timetable required

for submission of results. Some of this survey work is specified by legislation creating Protected Zones, for example Northern Ireland has protected zone status for Rhizomania and Colorado Beetle, and therefore DAERA is required to undertake surveys for such pests and diseases.

3. Under contract, Fera Science Ltd undertake pest and disease identification on samples submitted by the PHSI, and provide advice, support and national and international representation to Defra Plant Health. They develop and validate new diagnostic and surveillance methods, including field techniques leading to more tools in the hands of the inspectors. Fera maintains national collections of pest and disease organisms (for example, National Collection of Plant Pathogenic Bacteria) and significant quarantine facilities for diagnostics, research and development and contingency response situations. They also carry out research and development projects linked to the needs of the UK Plant Health Service. They provide capability building training for the PHSI, the wider Defra network, and stakeholders and contribute to awareness raising and education in the wider community. Fera maintain a defined capability and ensure that it can be made available for contingency situations. Fera also hosts and maintains the Plant Health Information Warehouse and provides other IT services to the PHSI.
4. In the plant health sector control priorities are determined according to the risk posed by pests and diseases and resources allocated accordingly. The [Plant Health Risk Register](#) as of December 2018 addresses the risks from 1024 pests. Ash dieback caused by *Hymenoscyphus pseudoalbidus* (*Chalara fraxinea*), *Xylella Fastidiosa* and other plant and tree health threats have had high priority, but this does not prevent the allocation of resources to other pests and diseases deemed to be important for the UK or the EU.
5. As for new and evolving threats, these are initially screened through the Plant Health Risk Register. Where a more detailed assessment is needed, this triggers the preparation of pest risk analyses to determine the level of threat to the UK or the wider EU and what control action may be needed to mitigate those threats. These are considered through a process of consultation involving all parts of the Plant Health Service and then by inviting views from industry and the public. The outcome of this consultation process leads to decisions about action to be taken in respect of each pest and disease. The outcomes of this process are then included in the risk register.

Monitoring and audit of control activities

6. The Plant Health Service prepares a business plan on an annual basis, which includes targets for numbers of inspection and a range of other activities. Progress against these targets is monitored by senior managers every quarter and decisions taken about adjustment of targets or reallocation of resources as appropriate.
7. The SG ARE and DAERA each have business plans which are regularly monitored by managers. Work undertaken by inspectors is recorded on a time recording system and on specific plant health databases.

8. Plant Health and Seeds inspectors use SOPs which contain detailed advice on the full range of their activities. Where appropriate guidelines for EU and National Inspectorates drawn up by the DG SANTE on inspection of plant products is reflected in these SOPs.
9. SG ARE inspectors have access to online guidance in addition to the usual operational manuals. All guidance is reviewed regularly to ensure that it remains correct.
10. DAERA inspectors have operating instructions for potato plant health and horticulture plant health. These are reviewed regularly and modified as the need arises.
11. Forestry Commission inspectors all work to the EU vade mecum on inspections of wood and wood products and they are also issued, when these are not covered by the vade mecum as appropriate, with instructions on specific aspects of their work.
12. Plant Health and Seeds inspectors in England and Wales report the outcome of their inspections using the e-Domero database, which is the PHSI's information and work recording system for all plant health import and export activities in England and Wales. This communicates the results to their senior officers. Where the harmful organisms are suspected to be present, samples are taken and forwarded to the laboratory, with details recorded on e-Domero. Once verified by laboratory tests, interceptions of pests and diseases and other instances of non-compliance are transmitted to the Commission using the Europhyt notification system (European Network of Plant Health Information Systems) as required under Directive 2000/29/EC.
13. In Northern Ireland, DAERA inspectors complete written inspection reports which are transferred onto a database, held centrally and available to managers. Separate databases are used to record results of Potato cyst nematode and wart disease test results. Databases are currently being updated and linked to a Geographic Information System which is used to provide maps of disease locations. Similar arrangements apply in Scotland.
14. Forestry Commission inspections are recorded on a Certificate of Clearance issued to importers for presentation to customs and kept on a central database. In cases of non-compliance, details are recorded on the Statutory Notice served on the importer, which details the action to be taken and kept on the central database. Where laboratory analysis is required, this is documented separately.
15. For further information on audit arrangements please see [Chapter 6](#).

Appendix I - Bee health

Roles and responsibilities

1. Bee health policy is administered by Defra in England, the SG ARE in Scotland, the Welsh Government LNF in Wales, and DAERA in Northern Ireland. The National Bee Unit (NBU) is delegated under contract to deliver the bee health programmes in England and Wales. In Scotland, delivery is undertaken by the SG ARE's Bee inspectors and in Northern Ireland by DAERA's agriculture inspectors. Additionally, APHA is responsible for carrying out controls of bee imports from outside the EU at designated BIPs.
2. The government funds bee health programmes to control the spread of notifiable pests and diseases of honey bees and to identify and manage the risks associated with new pests and diseases that may be introduced into the UK. This helps protect UK colonies and the pollination services they provide for commercial crops and wild plants as well as honey production. In addition, the programme protects consumers by minimising the risks of residues in harvested honey entering the food chain through the illegal or unauthorised use of medical treatments for honey bee pests and diseases. This is completed under statutory residue monitoring programmes for foodstuffs.

Official control activities

3. Bee health measures undertaken include: colony inspections for notifiable pests and diseases; diagnostics; treatment or destruction of infected colonies; veterinary checks on imports; applied research; and education of beekeepers aimed at encouraging more self-sufficiency in the apiculture sector.
4. In terms of control methods and techniques used, colonies infected with American foulbrood are destroyed while those infected with European foulbrood may be destroyed or treated depending on the level of infection.
5. APHA officials are responsible for carrying out official controls of bee imports from outside the EU at BIPs. Bee inspectors and NBU staff are empowered under veterinary legislation to ensure that importers comply with EU post import requirements aimed at reducing the risk of introduction and spread of notifiable exotic bee pests, as well as being responsible for assessing the health status of bees prior to export from the UK.
6. The NBU, bee inspectors in Scotland and DAERA bee inspectorate also collect honey samples on behalf of the VMD under [Council Directive 96/23](#). The samples are analysed at Fera.
7. The inspection programme in England and Wales is undertaken on a risk-basis, concentrating principally in areas where notifiable diseases (American foulbrood and European foulbrood) are known to be present and where colony density is high. A surveillance programme for notifiable exotic pests (small hive beetle and *Tropilaelaps* mites) focuses on apiaries in areas

considered most at risk of an introduction. The Scottish Government have implemented an annual voluntary honey bee health surveillance programme establishing baseline information on bee health status throughout Scotland. Where notifiable diseases (for example, European foulbrood) are identified, there are follow up checks in the known outbreak locations; import checks and sentinel apiaries in high risk areas for notifiable exotic pests; and an annual surveillance programme to identify new/unknown outbreaks of American foulbrood and establish baseline data on bee health in Scotland.

8. All inspection activity is recorded and monitored through the NBU database-BeeBase, which has been specifically developed for the management of the statutory Bee Health Inspections Programme. Management information, monthly and quarterly reports against performance indicators are regularly extracted from BeeBase. The data on the inspections programme are available to stakeholders on the Beebase website.

Monitoring and audit of control activities

9. NBU laboratory activities are subject to review and audit by Fera's QA Department and by Defra under the terms of the long-term services agreement.
10. Field work undertaken by bee inspectors employed by APHA is checked periodically (spot checks) by Regional Bee Inspectors (RBIs) to see how targets are being met. RBIs also maintain weekly contact with their teams and report regularly to the NBU's National Bee Inspector. Outcomes of field visits are recorded and all results logged on NBU's beekeeper database. Checks on visits and laboratory diagnosis are made regularly by the NBU's field and laboratory managers. Laboratory diagnosis checks are carried out daily. In Northern Ireland, bee inspectors are supervised by the Senior Bee Inspector on an on-going basis. In Scotland, lead bee inspector forms part of the inspection team and monitors and supervises for the most part in the field.
11. For further information on audit arrangements please see [Chapter 6](#).

Appendix J - Aquatic animal health

Roles and responsibilities

1. The Fish Health Inspectorate (FHI) of Cefas (on behalf of Defra and the Welsh Government) and MS FHI, part of MSS, and DAERA FHI are responsible for the enforcement of the EU aquatic animal health surveillance in the UK. This includes:
 - statutory inspection, sampling and testing programmes at fish, shellfish and crustacean farms
 - investigation of disease outbreaks in wild and farmed fish, shellfish and crustacean stocks
 - enforcement of statutory disease controls
 - implementation of controls on the import and export of live fish, shellfish and crustaceans.
2. The Inspectorates work closely with stakeholders in the aquaculture industry, the ornamental fish trade, fishery managers and the relevant trade and representative associations. They provide an advisory service to the industry and the general public aimed at increasing the effectiveness of national aquatic animal health controls.
3. Cefas Inspectorate provides additional services to Defra and the Welsh Government and other government bodies where these can be integrated into farm inspection programmes. This includes taking samples for veterinary medicines testing, assessing water pollution impacts on fish farms, investigating and assessing new and emerging diseases, assessing fish welfare status on farms and controlling non-native fish species.
4. MS FHI is also responsible for conducting the VMD sampling programme across finfish Authorised Production Businesses, investigating and assessing new and emerging diseases and the reporting of any welfare concerns to animal health colleagues for action as required. [MSS](#) also carries out a wide range of essential marine and freshwater aquatic animal health research and offers advice on production and disease control on behalf of MS.
5. In Northern Ireland, AFBI provides specialist monitoring, diagnostic and research work on behalf of DAERA on aquatic health.

Official control activities

6. The principal functions of Cefas, MSS and DAERA are:
 - investigation of abnormal mortality incidents, suspicions of listed disease
 - investigating and controlling suspected and confirmed cases of listed disease including the implementation of contingency plans where appropriate

- authorisation and monitoring of fish and shellfish farms including statutory inspection and sampling to maintain and improve health status under the EU aquatic animal health regime
- maintenance of the register of authorised aquaculture production businesses and the register of 'put and take' fisheries
- issue of live aquatic animal import or export documents to the industry and the monitoring of imports to support the high health status of the industry
- enforcement activities, principally to counter illegal fish imports as well as breaches of regulations.

Cefas

7. There is a MoU between Defra and Cefas covering the FHI's responsibilities and activities. An outline of the FHI work programme is set out in an Annex to the MoU. An enforcement strategy is linked to annual enforcement plans with specific objectives.
8. The Inspectorate is working to improve quality standards across the range of its activities. Field Inspectors' competency is a requirement of UKAS accreditation, and a formal framework ensures that inspectors receive adequate training and assessment in inspection tasks throughout their career. Cefas is accredited by UKAS under the ISO 17025 and ISO 9001 standards.
9. All inspection, sampling and disease diagnostic data are recorded on the Starfish database. This system contains a scheduling tool that identifies all sites requiring particular types of inspection and allows senior inspectors to create a schedule of visits for any given period. Each scheduled inspection is allocated a unique identifier which will apply to all work carried out for that scheduled visit. Visit data is collected electronically using portable personal computers and automatically submitted to the Starfish database through a wireless connection. This allows all work carried out to be audited.
10. An access permissions system on the database ensures that users have access only to data essential for them to complete their work. For example, all samples are blind tested within the laboratory to ensure that samples are treated in a uniform manner irrespective of any prior disease history on the site of origin. Access permissions also restrict the number of users able to input and edit data within the system.

MSS

11. MSS is accredited by the UKAS under the ISO 17025 and ISO 17020 standards. Controlled documentation including standard operating procedures, detailed methodologies and record sheets are important components of the quality system. An audit programme, including internal and external auditing procedures, is implemented to ensure high standards are maintained. All aquatic animal health surveillance is recorded using an internal database and laboratory information management system.

AFBI / DAERA

12. AFBI is the official laboratory for the monitoring of, fish and shellfish diseases on behalf of DAERA in Northern Ireland. An MoU sets out the key principles upon which the DAERA and AFBI operate. An annually agreed SLA between DAERA Marine and Fisheries Division and AFBI outline the monitoring programme and an annual audit by DAERA on sampling and reporting procedures is carried out. AFBI is currently accredited by UKAS under the ISO 17025 and ISO 9001 standards.

Monitoring and audit of control activities

Cefas

13. The Inspectorate produces quarterly reports to the Defra Aquatic Animal Health policy customer, outlining progress against targets documented in the MoU. [Quarterly reports](#) of Inspectorate activities and Service Charter compliance are published on GOV.UK website.
14. Reports on all site inspections, sampling and testing are generated from the Starfish Database and sent to the farmers or other industry personnel to whom they apply. Farmers are also sent copies of all farm data held on the system to check any amendments made following inspections.
15. The database has a reporting system which enables the Inspectorate to generate summary data for customer reports or reports on for example farmed fish production in a format suitable to the industry, which meet both Data Protection Act¹⁶ and Freedom of Information Act¹⁷ requirements.

MSS

16. Following inspection under the aquatic animal health surveillance programme and inspections conducted for disease control purposes advice may be given or statutory action may be necessary. MSS Inspectorate provide follow-up communication within 10 working days following receipt of the inspection. This confirms in writing any points which were raised during the visit and any follow up action which MSS requires to be taken.
17. MSS inspectors provide clear and concise written report on the results of any tests undertaken. Where a notifiable disease is found in the sample, they will, wherever practicable, give a verbal report within one working day of the confirmatory test. This will be confirmed in writing within 5 working days. Where no notifiable disease is found in the sample, this will be confirmed within ten working days of the full results becoming available.

¹⁶ An Act to make new provision for the regulation of the processing of information relating to individuals, including the obtaining, holding, use or disclosure of such information.

¹⁷ The Act provides a general right of access to all types of recorded information held by public authorities. This right is subject to certain exemptions most of which require case by case consideration of the balance public interest.

18. Quarterly reporting of inspections and their outcomes are undertaken to inform Scottish Government policy colleagues of annual operational progress. All information and results obtained through aquatic animal health surveillance is published as part of an active publication plan involving the publication of case information on a monthly basis one month in arrears.

AFBI / DAERA

19. DAERA FHI undertake annual site inspections at all Aquaculture Production Businesses (APBs). Any action taken, advice given, or follow up action required is documented and signed off by the farmer. In circumstances where a fish farmer has been advised to take certain action under the terms of his licence or authorisation conditions, this will be clarified in writing by the Inspectorate. Follow-up inspections are undertaken, where appropriate. Information relating to APBs, including inspection reports, is held on a central database.
20. Senior fish health inspectors are responsible for monitoring progress of activities and work areas through key performance indicators, which are reviewed at monthly inspectorate meetings where inspectors are advised of any need to re-assess progress or to target particular areas of work. Ultimate responsibility for the work of the Cefas FHI and MSS FHI lies with the respective Heads of the Fish Health Inspectorates. DAERA FHI monitors progress on achievement of targets through a balanced scorecard system.
21. Individual inspector's competences are maintained through internal workshops, validation inspections by senior inspectors, checks on paperwork and samples submitted to the laboratory for data inputting and testing respectively and through their reporting performance under the Citizen's Charter.
22. Paperwork and fish health reports completed as part of the inspection programme under aquatic animal health surveillance is checked by a second fish health inspector prior to issuing and case closure. Where diagnostic sampling has been undertaken a diagnostic case review is conducted involving pathology and laboratory staff as well as fish health inspectors to determine a differential diagnosis where possible.
23. The UKAS audits the MSS Quality System annually. An in-house audit team also conducts an audit programme covering document control, method documentation, facilities and environment, test observation and procedures as well as fish health inspector competency audits.
24. For further information on audit arrangements please see [Chapter 6](#).

Appendix K - Rural Payments Agency (RPA)

Roles and responsibilities

1. The RPA Inspectorate conducts a range of farm, trade and technical inspections to ensure full compliance with the relevant UK and EU legislation.¹⁸

Official control activities

2. On beef labelling, the RPA checks that operators in England and Wales have in place the necessary records of a comprehensive traceability system, to ensure that beef in the supply chain can be traced back to the animals or group of animals from which it was derived. The RPA inspectors make the following checks:
 - operators have a recorded, documented traceability system in place to enable the beef to be traced back to the animals of origin
 - in slaughterhouses and cutting plants, carcasses, cuts and boxes are labelled with the appropriate compulsory information:
 - a traceability reference number or code
 - the animals' country of birth and countries of rearing
 - country of slaughter and cutting, with the approval numbers of the slaughterhouses and cutting plants
 - in mincing plants, all packs are labelled correctly
 - meat of bovine animals aged less than twelve months is classified with the appropriate category identification letter and labelled with the relevant sales description of the member state.
3. The inspectors check whether there is non-UK beef on site and if so, whether it is correctly labelled with the appropriate compulsory information. If any non-compliance is found, follow-up checks are made to the premises until the operator is compliant with the labelling requirements.
4. The RPA carries out standalone statutory inspections under the bovine identification and movement orders to ensure farmers and traders maintain appropriate records and conform to the animal identification and movement requirements. Inspectors check compliance by undertaking physical inspection and examination of the livestock, records and supporting documentation to ensure a comprehensive traceability system is in place and verify in the case of cattle the validity of the Cattle Tracing System (CTS).

¹⁸ Some of these inspections are carried out under cross-compliance arrangements. Cross-compliance does not fall within the scope of Regulation (EC) No 882/2004 on official controls. However, certain inspections and checks are carried out under cross-compliance, such as for cattle identifications, and are part of the overall animal health and welfare picture and provide assurances of compliance with animal health and welfare rules.

5. Inspectors have powers to seize or amend cattle passports, take copies of records, place whole herd or individual restrictions on non-compliant animals and if necessary serve a notice to slaughter unidentified animals.
6. Cross compliance checks are conducted to establish compliance against a range of existing domestic and EU legislation, covering the areas of livestock identification and record keeping for cattle, pigs, nitrate vulnerable zones, the use of plant protection products, feed and food law including dairy hygiene, illegal use of substances (for example, hormones) and TSEs. Non-compliances are assessed based on the severity, extent, permanence and repetition of the breach and result in percentage penalties being applied under the CAP subsidy schemes. For accreditation purposes holdings are selected for inspection based on various risk factors, a random element is also selected.
7. The RPA Inspectorate conducts inspections on over 50 different schemes. A service level or management agreement and detailed inspection instructions for each scheme are agreed with the relevant scheme managers in the RPA or Defra and published on internal websites.

Monitoring and audit of control activities

8. The RPA Inspectorate has an arrangement with Defra to inspect and report to the Meat Technical Scheme team on all beef cutting premises, particularly those not staffed by FSA staff. These inspections are selected and carried out on a risk/random basis, but may also require follow-up inspections, where non-compliance is found; all inspections are based on being unannounced. The Meat Technical Scheme team sends Defra biannual reports, giving up-to-date information on inspection performance and rates of non-compliance.
9. All inspection activity is recorded and monitored on the RPA Inspectorate's work flow monitoring, work profiling and quality control Information Management systems. Management information and reports are regularly extracted providing performance statistics, results and quality control analysis on a national, team and individual inspector basis. Development of a 'claim to pay' system continues and allows inspectors to schedule tasks provides electronic inspection report forms and other inspection functionality. An annual report is produced giving details of targets and performance, which is posted on the RPA website for general access.
10. For further information on audit arrangements please see [Chapter 6](#).

Appendix L - Veterinary Medicines Directorate (VMD)

Roles and responsibilities

1. The VMD aims to protect public health, animal health, the environment and promote animal welfare by assuring the safety, quality and efficacy of all aspects of veterinary medicines in the UK. It is responsible for:
 - development and implementation of legislation on specified feed additives (SFAs) and medicated feedingstuffs, and the enforcement of this legislation in GB
 - post-authorisation surveillance of veterinary medicines under Directive 96/23/EC.

Official control activities

2. VMD inspectors are specifically authorised under the [Veterinary Medicines Regulations 2013](#) (as amended by [SI 2014/599](#)) to:
 - inspect and approve manufacturers and distributors of SFAs¹⁹
 - inspect and approve premixtures and feedstuffs containing SFAs and/or veterinary medicinal product (VMPs)
 - inspect and approve retailers of certain restricted veterinary medicines
 - carry out routine audits of feedstuff manufacturers and distributors (which include taking samples of feed for quantitative analysis)
 - conduct follow-up visits where serious non-compliance necessitates additional control activities.
3. In England and Wales, VMD delegates the inspection of fish farms authorised to manufacture medicated feed for use on their own fish, to Cefas. VMD has a SLA with Cefas and Marine Scotland which includes detailed specification of requirements. VMD delegates to accredited laboratories the task of analysing samples taken as part of routine inspections for the control of medicated feedingstuffs and SFAs (see [Chapter 3](#)).
4. VMD has a risk-based approach for the inspection of feed business operators. The risk assessment takes into account the inherent risk of the business based on its activities, the potential risk to animal and public health, and the nature and number of non-compliances that also take into account compliance history. The maximum period between inspections for the lowest risk, fully compliant, feed businesses will not exceed four years.

¹⁹ SFAs include coccidiostats, histomonostats and all other zootechnical additives except digestibility enhancers, gut flora stabilisers and substances incorporated with the intention of favourably affecting the environment.

5. VMD has a screening method (biosensor) for the detection of nine antibiotic growth promoters (AGPs), and a sampling programme to test feed samples for antimicrobial growth promoters by conventional methods.
6. APHA carries out official duties of health monitoring in establishments and has an agreement with VMD to report irregularities. For example, banned antibiotic growth promoters have been highlighted for special attention
7. VMD, NAP and APHA have a tripartite MoU in place which was implemented in April 2016 and is being updated in 2019.
8. VMD is responsible for the operation of the residue surveillance programme in GB (DAERA fulfils this role in Northern Ireland). It drafts the UK National Residues Control Plan each year and submits the final version to the Commission. Sample numbers are split based on the basis of production between GB and Northern Ireland. The programme involves sample collection, sample analysis and follow-up action on non-compliant results. Sampling is targeted according to criteria set out in Commission Decision 98/179/EC. The results of the previous year's surveillance programme are reported to EFSA.
9. Samples are collected by APHA, FSA, FSS, Cefas, MS and the Scottish Government, under terms set out in SLAs or MoUs. The number of samples taken is based on throughput in line with the levels set out in legislation. Samples are analysed for residues of veterinary medicines, banned substances and contaminants in line with the minimum requirements laid down in the legislation. Follow-up investigations are undertaken at farms where non-compliant residue levels are found in animals/animal products. Checks on farmers' records of veterinary medicine usage are carried out on 1,500 farms a year. Sampling of suspect animals and carcasses, and intensified checks are also provided for in the legislation and used when appropriate.
10. Fera Science Ltd carry out analytical work for the GB component of the National Surveillance scheme. VMD has an SLA with Fera which includes a detailed specification of requirements. Fera is responsible for analysis of samples and reporting results to the VMD. The laboratory uses analytical methods accredited to ISO 17025 and Commission Decision 2002/657. Fera is subject to independent audits.
11. The VMD is responsible for the surveillance of antibiotic resistance in specific zoonotic and commensal indicator bacteria from poultry and pigs, in accordance with Commission Implementing Decision 2013/652/EU. The FSA is responsible for collection of samples and APHA is responsible for the processing of samples and analyses of findings. The conditions are set out in SLAs with FSA and APHA.
12. Feed business operators manufacturing or mixing SFAs or VMPs into premixtures or feedingstuffs, and distributors dealing with these products are required by UK law to be approved by the VMD in GB and by DAERA in Northern Ireland, and to be inspected regularly to ensure compliance with legislative requirements. The VMD keeps a register of all approved manufacturing establishments and distributors in GB. Those establishments manufacturing SFAs that additionally manufacture

authorised premises are inspected and approved under GMP by either the VMD's GMP Inspection Team or the [Medicines and Healthcare Regulatory Authority](#) on behalf of the VMD.

13. The VMD inspectors work in line with documented SOPs which set out procedures for undertaking official inspections, including sampling and dealing with non-compliance and infringements. They also cover reporting requirements that provide that all businesses inspected by the VMD receive a report of the findings. The SOPs are part of the VMD's Quality Management System.
14. In 2014 the VMD implemented 'Earned Recognition' (ER) for those commercial feed manufacturers risk-rated as 'Good' and which are additionally certificated under the Agricultural Industries Confederation's (AIC's) Universal Feed Assurance Scheme (UFAS). The VMD applies extended inspection intervals to those manufacturers that meet the ER criteria. The arrangements for ER are set out in a MoU between the VMD and the AIC, which among other things includes a requirement to share information about manufacturers and inspections. Where an investigation into a Feed Safety Incident (FSI) identifies that procedures at a commercial feed manufacturer are likely to have caused the FSI, then ER will be removed, and the manufacturer informed.
15. Field instructions, SOPs and operation manuals setting out how controls should be carried out are in place for each of the bodies that undertake work for the VMD as part of the National Surveillance Scheme. These are reviewed and updated on an annual basis or more frequently where changes in the processes are required. VMD issues monthly surveillance results to all operators of processing plants who have had animals/animal products sampled and include compliant results and details of the sample type, date of collection and residue detected where samples test non-compliant. Results of the previous year's surveillance programme are reported to the EFSA each year by 30 June of the following year. A report is also published bi-monthly on GOV.UK.
16. All antimicrobial resistance activities carried out as part of official controls on behalf of the VMD by nominated bodies and the NRLs are set out in protocols as specified by Commission Implementing Decision 2013/652/EU.

Monitoring and audit of control activities

17. VMD Internal Audit is provided by an external provider, requiring audits of all work areas, including veterinary residue surveillance to be carried out once every five years. The VMD is audited against EU legislation requirements and audit arrangements are scrutinised by the Audit and Risk committee which sees the final reports. Where recommendations for changes are made, follow-up checks are carried out within 12 months of the original audit. The audits also aim to identify good practice. The VMD is ISO 9001 certified for its Quality Management System.
18. For further information on audit arrangements please see [Chapter 6](#).

Appendix M - Chemicals Regulation Directorate (HSE)

Roles and responsibilities

1. The CRD support the Health and Safety Executives' (HSE) work in 'the prevention of death, injury and ill health to those at work and those affected by work'. This is achieved by early intervention in the supply chain and seeking to prevent the adverse effects of chemicals on people and the environment. The aim of CRD is to ensure the safe use of biocides, industrial chemicals, pesticides and detergents to protect the health of people and the environment. This includes acting as the CA for plant protection products and biocides.

Official control activities

2. HSE is responsible for the monitoring of pesticide residues in food and drink in the UK food supply. It produces the annual UK national pesticide residues monitoring plan and is responsible for the submission of the results of both the annual European harmonised residues monitoring programme and the national programme to the Commission in the following year, in line with prescribed timetable.
3. The regulation of the approval and use of pesticides in the UK is tightly controlled, and is backed up by a substantial programme of residues testing, overseen in the UK by the [Expert Committee on Pesticide Residues](#) in Food (PRiF). It comprises independent experts who advise the government departments responsible for administering the monitoring programme. Members include experts on the effects of chemicals on people; knowledge of food production techniques; and with a general interest in food safety issues.
4. The PRiF's remit is to advise UK government ministers, HSE and the Chief Executive of the FSA on:
 - the planning of surveillance programmes for pesticide residues in the UK food supply and the evaluation of the results
 - procedures for sampling, sample processing and new methods of analysis.
5. The Committee is also required to make its findings and recommendations available to government, consumers and the food and farming industries in a comprehensive, understandable and timely way.
6. Monitoring provides information to verify residue levels found within those expected from normal use of the pesticide and checks that maximum residue levels (MRLs), are not breached for both imported and home-produced food. The programme involves sample collection from various points in the supply chain and sample analysis. Follow-up action is also taken based on any infringements identified in the monitoring programme, including MRL exceedances, non-approved uses and

unexpected residues. Depending on the specific circumstances, follow-up action may take one or more of the following forms:

- writing out to the parties concerned to warn of a breach of the controls and to seek explanations
- repeat sampling to identify further or consistent breaches
- naming of those parties responsible in published reports issued by the PRiF
- formal investigation in preparation for enforcement action, including the issuing of enforcement notices and taking prosecution action.

7. HSE carries out monitoring of both UK and EU-produced and imported food for pesticide residues. Monitoring control priorities are:
 - checking human dietary intakes of residues in foods are within acceptable levels
 - checking residues do not exceed the statutory MRL
 - backing up the statutory approvals process for pesticides by checking that no unexpected residues are occurring in food.
8. The priority of surveying particular foods is risk-based, dependent on the evidence of incidence of pesticide residue problems and dietary importance and the risks to consumers from any non-compliant findings. Priority is also attached to compliance with European harmonised obligations for pesticide residue monitoring in food and drink.
9. UK pesticide enforcement is targeted, proportionate and risk-based. The overall aim is always to protect the health of consumers by following up adverse findings or evidence of misuse of pesticides. The results of enforcement action are fed into cross-compliance checks.
10. Local and port health authorities and BIPs (see [Appendix N](#)) may conduct their own surveillance of pesticide residues, referring to HSE, in consultation with the FSA, for consumer risk assessments. Where a food safety concern has been identified, these authorities are empowered to take enforcement action under general food safety legislation. Local authorities have an obligation to send returns on such food related incidents to the FSA.
11. For HSE staff involved in the surveillance programme, there are SOPs for administrative tasks including follow-up action on results. For sample collection agencies and laboratories, all procedures are formalised in a contract or SLA which includes an annual work plan. This may be supplemented by written exchanges which detail changes to the specification. All contracts are reviewed annually but can be subject to in-year amendment with the agreement of both parties. All official laboratories are required to work in accordance with the current European Analytical Quality Control Guidelines (currently SANTE/11945/2015). These guidelines are supplemented with additional guidance on procedures which HSE reviews quarterly with the official laboratories.

Monitoring and audit of control activities

12. HSE publishes full details of the results of all monitoring activities on a quarterly basis. The results of certain higher risk surveys are published monthly. An annual report collating the main findings is produced. Suppliers who fail to comply with MRLs receive direct notification of the full results. Results are available on the PRiF web site. The UK also provides a return to the Commission on the results of national participation in the co-ordinated pesticide residue monitoring recommendation and the overall results of the UK's national monitoring programme. The Commission publishes collated results for all member states. The [results of specific enforcement programmes](#) are published on the GOV.UK website.
13. For further information on audit arrangements please see [Chapter 6](#).

Appendix N - Local and Port Health Authorities

Roles and responsibilities

1. Local and port health authorities in the UK are responsible for monitoring and verifying compliance with, and enforcing the requirements of, the main body of feed and food law, and certain elements of animal health and welfare, as described below.

Official control activities

2. Local and port health authorities in the UK are responsible for a wide range of control activities. Their specific responsibilities vary and will be set out in their local service delivery plans, which provide a control framework that covers all stages of feed and food production, processing and distribution from 'farm to fork'.
3. At primary production level, local authorities in England and Wales are responsible for monitoring and verifying compliance with and enforcing the requirements of the [EU food hygiene legislation](#) and the [EU feed hygiene Regulation](#). In Northern Ireland, this is the responsibility of DAERA AFIB (on behalf of the FSA) and in Scotland, local authorities and SG ARE.
4. At other stages in the production chain, local authorities are responsible for monitoring and enforcing feed and food safety compliance and enforcing rules on labelling and compositional standards. Port health authorities and some local authorities provide controls for products entering the UK from outside the EU. Where local and port health authorities find non-compliance, they work with the food business in line with their policies and, where necessary, take formal enforcement action.
5. Each individual authority's planned control activities are set out in its service delivery plan. These include:
 - the number of programmed interventions, an estimation of the number of revisits needed, and any targeted intervention activity that the authority intends to carry out
 - an estimation, based on previous years' trends, of the likely demand on the service for dealing with complaints
 - an estimation of the resource needed to advise businesses for which it acts as the Primary or Home Authority or originating authority, and responding to enforcing authority enquiries
 - an estimation of the number of contacts from businesses regarding the provision of advice
 - details of sampling programmes and an estimate of the number of samples that may be taken in relation to complaints
 - an estimation, based on previous years' trends, of the likely demand on the service in dealing with control and investigation of outbreaks and food related infectious disease.

6. A range of interventions are employed in fulfilling official control functions. These include monitoring, surveillance, verifications, audits, inspections of feed and food premises, sampling, chemical analysis and microbiological examination. Intervention frequencies are determined by the intervention rating scheme set out in the relevant feed and food law Codes of Practice. Businesses posing a higher risk will attract more frequent interventions.
7. At BIPs, controls on imported animal products are carried out in accordance with [Directive 97/78/EC](#) and [Regulation 136/2004/EC](#). This includes checking of manifests to confirm that consignments have been correctly notified, documentary checks and identity checks and physical checks. Veterinarians are employed or contracted by the local authority to carry out checks on animal products (other than fishery products) at BIPs. In Northern Ireland, DAERA has responsibility to undertake checks on animal products, with Belfast City council responsible for fish and fishery products. Information regarding non-compliant products and the onward movement of third country products is notified to other member states using the TRACES notification system.²⁰
8. Regarding imported feed and food of non-animal origin, controls at points of entry include documentary checks, identity checks and physical checks, including sampling. The frequency of these controls is risk-based and informed by various factors, including the specific requirements of EU legislation, RASFF notifications and local intelligence and priorities.
9. Enforcement of imported feed and food controls by inland local authorities is carried out as part of their day to day regulatory responsibilities. These include examination of feed and food during premises inspections, routine and programmed sampling and analyses, and responding to complaints.
10. For higher risk feed and food of non-animal origin where there is a known or emerging risk, a variety of legislation is in place to control contaminants from specified countries. For example, [Commission Regulation \(EC\) No 669/2009](#) implements Article 15(5) of Regulation (EC) No 882/2004 on the increased level of official controls on imports of certain feed and food of non-animal origin. This requires that such feed and food enter the EU through designated points of entry that have minimum facilities for the official controls to be undertaken.
11. Controls are applied at designated first points of introduction on imports of melamine and polyamide plastic kitchenware from China and Hong Kong under [Regulation \(EU\) No 284/2011](#).
12. In the case of natural mineral waters originating in the UK, the relevant local authority is responsible for granting Official Recognition.

²⁰ TRACES - Trade Control and Expert System is an internet-based service providing information on intra-EU movements and imports of live animals, animal products and germplasm for competent authorities, official veterinary surgeons and traders.

13. Most local authorities in England and Wales responsible for delivery of services in animal health and animal welfare, are part of the Animal Health and Welfare Framework (see [Chapter 4](#)). Scotland has also developed a framework agreement and local authorities are encouraged to participate. In Northern Ireland, local authorities have a minimal role in the regulation of animal health and welfare with two exceptions:
 - local authorities are responsible for the protection of companion animal welfare (including dogs, cat, horses and other companion animals).
 - Belfast City Council operates a BIP in Belfast port and carries out checks on incoming consignments of frozen fish products for DAERA.
14. Local authorities in GB are responsible for checking compliance with a wide range of animal health and animal welfare legislation including animal identification, animal movements and movement records, disease control, animal gatherings, animal welfare, ABP, bio-security and contingency planning. In Northern Ireland these areas are the responsibility of DAERA with local District Councils being responsible for the welfare of non-farmed animals.
15. Risk-based activities carried out to check compliance include visible presence of officers at 'critical control points' such as markets and other licensed premises, selective visits and inspections to verify legislative compliance and out-of-hours checks at places such as markets (premises licensed for sale), slaughterhouses and premises licensed for collection of animals for slaughter or for further rearing or finishing. In addition, checks are carried out on vehicles transporting animals or animal products/waste.
16. Local authorities in GB respond reactively to referrals from other agencies such as APHA, the FSA and the RPA. They also respond to complaints from members of the public and non-governmental bodies such as welfare organisations and similar groups. In Northern Ireland DAERA responds to these referrals with local District Councils responding to referrals concerning the welfare of non-farmed animals.
17. Local authorities in GB and the DAERA in Northern Ireland have access to and carry out checks on reported livestock movements using information captured centrally on the CA's Livestock ID and Traceability systems for cattle, sheep/goats and pigs.
18. All local and port health authorities with responsibilities for monitoring and verifying compliance with official controls and enforcement of feed and food law must have regard to the instructions and criteria set out in the relevant [Feed and Food Law Code of Practice](#). A Practice Guidance document on earned recognition has been issued to supplement the [Feed Law Code of Practice in Scotland](#). For consistency, in [Northern Ireland, Practice Guidance](#) has been developed for use by DAERA (which carries out feed law enforcement in Northern Ireland) and which incorporates the content of the Code and Practice Guidance for GB.
19. Separate, but parallel Codes and associated Practice Guidance, exist in [England, Wales & Northern Ireland](#) and in [Scotland](#).

20. The [BIP manual](#) provides guidance on implementation of legislation concerning checks on animal products imported from third countries and sets out the division of responsibilities and procedures for authorities carrying out veterinary checks. In addition to regular updates of the manual, any major change in guidance and instructions are provided as Official Veterinary Surgeon (OVS) notes.
21. Minimum standards of control procedures are set out for local authorities in England and Wales, within the Local Authority Framework. In Scotland each local authority has a service plan, outlining activities for animal health and welfare. These activities include: enforcement policies/powers; procedures for authorising officers; procedures for inspections and visits; procedures for dealing with complaints and complaint procedures; and procedures/plans in place for dealing with outbreaks of notifiable diseases. In Northern Ireland control procedures are in place for animal health and welfare under DAERA for farmed animals and under local District Councils for non-farmed animals.

Monitoring and audit of control activities

22. The FSA is working to update and improve its oversight of local authority performance. There are four key elements to the new approach:
 - **Separation of the audit and performance management functions** - this enables more targeted and flexible action to be carried out to address performance issues.
 - **Use of a new digital reporting tool - the Balanced Scorecard (BSC)** – this enables the collation and analysis of a range of data submitted by local authorities and linked with other internal and external data sources.
 - **Key Performance indicators (KPIs)** - smarter use of existing key performance indicators and the introduction of new KPIs that better reflect potential risks and impacts on consumer protection.
 - **Securing improvement** - where standards are not met, working with and supporting local authorities to develop and implement proportionate and time bound action plans, and following an escalation procedure when necessary.
23. The new approach was considered and endorsed by the FSA's Board in [March 2019](#).
24. Risk-based annual audit programmes reflect current and anticipated audit priorities. Feed and food safety risks and priorities identified by FSA management together with relevant sources of wider information, inform national audit priorities. Audit activities are also organised by audit teams in each of the FSA's devolved national offices and in FSS. In Wales, local authorities are subject to full audits as part of a three-year programme. These are supplemented by a programme of focused audits, often in conjunction with other FSA audit teams in England and Northern Ireland. All local authorities in Scotland are unitary and are visited within the five-year requirement. In Northern Ireland, focussed audit programmes are carried out on between three to five local authorities each year.
25. For further information on audit arrangements please see [Chapter 6](#).

Appendix O - National Reference Laboratories (NRLs)

Details of the NRLs appointed by the competent authorities in the UK are set out in the table below. Arrangements are in place to ensure that NRLs operate in accordance with Regulation 2017/625, that quality control or management systems are in place and that there are arrangements for planning and conducting proficiency or ring tests. These measures are presented in a separate table below.

Analytical activity	Responsible CA	NRL
Animal health NRLs		
Classical swine fever	Defra	APHA New Haw Addlestone, Surrey
Avian influenza, Swine influenza		
Newcastle disease		
Aujesky's Disease (pseudorabies)		
Porcine Epidemic Diarrhoea (to be designated) ²¹		
Echinococcus multilocularis		
Equine Viral Encephalomyelitis (incl.VEE, WEE and EE)		
Equine Infectious Anaemia		
Enzootic Bovine Leukosis		
Brucellosis		
Rabies (incl monitoring the effectiveness of vaccination)		
Teschen Disease		
West Nile Fever		
Rift Valley Fever		
Equine Viral Arteritis		
Bovine TB		
Foot and mouth disease		
African swine fever		
African horse sickness, Bluetongue		

²¹ These National Reference Laboratories are currently undergoing the process of being formally designated.

Analytical activity	Responsible CA	NRL
Anthrax	Defra	Rare and imported pathogens laboratory (RIPL) Public Health England, Manor Farm Road, Porton Down, Wiltshire SP4 0JG PHE Porton is designated pending final assignment
African horse sickness African Swine Fever Bluetongue Swine Vesicular Disease Foot and Mouth Disease Rinderpest Sheep and Goat Pox Lumpy Skin Disease Peste des Petits Ruminants Epizootic Haemorrhagic Disease Vesicular Stomatitis	Defra	The Pirbright Institute, Ash Road, Pirbright, Woking, Surrey, GU24 0NF
Analysis and testing of zoonoses (Salmonella)	Defra	APHA, New Haw, Addlestone, Weybridge, Surrey, KT15 3NB
Antimicrobial resistance in animals (AMR)	Defra – VMD	APHA, New Haw, Addlestone, Surrey KT15 3NB
Aquatic Animal Disease – England	Defra	Cefas, Weymouth Laboratory, Barrack Road, The Nothe, Weymouth, Dorset, DT4 8UB
Aquatic Animal Disease – Scotland	Scottish Government	MSS Marine Laboratory, 375 Victoria Road, Aberdeen AB11 9DB
Aquatic Animal Disease – Northern Ireland	DAERA	AFBI, Fish Disease Unit, Stoney Road, Belfast BT4 3SD DAERA/AFBI has access, if required, to Cefas, the GB NRL for fish disease
<i>Campylobacter</i> in animals	Defra	APHA, New Haw, Addlestone, Surrey KT 15 3NB
TSEs	Defra	APHA, New Haw, Addlestone, Surrey KT 15 3NB

Analytical activity	Responsible CA	NRL
Feed and food NRLs		
Antimicrobial Resistance	FSA	Public Health England (PHE), FW&E Microbiology Network, PHE National Infection Service, PHE-Colindale, 61 Colindale Avenue, London NW9 5EQ
<i>Campylobacter</i>	FSA	Public Health England (PHE), FW&E Microbiology Network, PHE National Infection Service, PHE-Colindale, 61 Colindale Avenue, London NW9 5EQ
Coagulase positive <i>Staphylococci</i> , including <i>Staphylococcus aureus</i>	FSA	Public Health England (PHE), FW&E Microbiology Network, PHE National Infection Service, PHE-Colindale, 61 Colindale Avenue, London NW9 5EQ
<i>Escherichia coli</i> , including Verotoxigenic <i>E. Coli</i> (VTEC)	FSA	Public Health England (PHE), FW&E Microbiology Network, PHE National Infection Service, PHE-Colindale, 61 Colindale Avenue, London NW9 5EQ
Feed Additives - authorisation and control	FSA	LGC Ltd, Queens Road, Teddington, Middlesex, TW11 0LY
Foodborne Viruses	FSA	The Centre for Environment, Fisheries and Aquaculture Science (Cefas), Weymouth Laboratory, Barrack Road, The Nothe, Weymouth, Dorset, DT4 8UB
Genetically Modified Organisms (GMOs)	FSA	LGC Ltd, Queens Road, Teddington, Middlesex, TW11 0LY
Halogenated Persistent Organic Pollutants (POPs) in feed and food	FSA	Fera Science Ltd., Sand Hutton, York YO41 1LZ
Heavy metals and nitrogenous compounds in feed and food	FSA	Fera Science Ltd., Sand Hutton, York YO41 1LZ
<i>Listeria monocytogenes</i>	FSA	Public Health England (PHE), FW&E Microbiology Network, PHE National Infection Service, PHE-Colindale, 61 Colindale Avenue, London NW9 5EQ
Materials and articles intended to come into contact with food	FSA	Fera Science Ltd., Sand Hutton, York YO41 1LZ

Analytical activity	Responsible CA	NRL
Monitoring of marine biotoxins	FSA	Marine biotoxins: Agri-Food and Biosciences Institute (AFBI-NI), Shellfish Toxin Unit, Veterinary Sciences Division, Stoney Road, Belfast BT4 3SD N. Ireland Phytoplankton monitoring: Agri-Food and Biosciences Institute (AFBI-NI), Agriculture, Food and Environmental Science Division, Newforge Lane, Belfast BT9 5PX, Northern Ireland
Monitoring the viral and bacteriological contamination of bivalve molluscs	FSA	Cefas, Weymouth Laboratory, Barrack Road, The Nothe, Weymouth, Dorset, DT4 8UB
Mycotoxins and plant toxins in feed and food	FSA	Fera Science Ltd., Sand Hutton, York YO41 1LZ
Parasites (in particular Anisakis)	FSA	Anisakis: Cefas, Weymouth Laboratory, Barrack Road, The Nothe, Weymouth, Dorset, DT4 8UB
Parasites (in particular Trichinella and Echinococcus)	FSA	Trichinella and Echinococcus: Animal and Plant Health Agency (APHA), National Agri-Food Innovation Campus, Sand Hutton, York YO41 1LZ
Pesticides residues in: <ul style="list-style-type: none"> • Cereals and feedingstuffs • Food of animal origin and commodities with high fat content* • Fruits and vegetables, including commodities with high water and high acid content • Single residue methods 	HSE (delegated authority from Defra)	Fera Science Ltd, Sand Hutton, York YO41 1LZ Fera is designated pending final assignment
Pesticides residues in organic products	Defra	Fera Science Ltd, Sand Hutton, York YO41 1LZ
Processing contaminants	FSA	Fera Science Ltd. Sand Hutton, York YO41 1LZ
Residues listed in Annex I, Group A to Council Directive 96/23/EC	VMD	For A1, A2, A3, A4, A5, A6 (nitrofurans except in honey, nitromidazoles): AFBI, Veterinary Sciences Division, Stoney Road, Belfast BT4 3SD N. Ireland For Group A6 (chloramphenicol, nitrofurans in honey, dapsone): Fera Science Ltd, Sand Hutton, York, YO41 1LZ For Group A6 (chlorpromazine): Group to be re-designated"

Analytical activity	Responsible CA	NRL
Residues listed in Annex I, Group B to Council Directive 96/23/EC	VMD	For Group B1, B2a, B2b (ionophores): Fera Science Ltd., Sand Hutton, York, YO41 1LZ For Group B2c-e, B3a-d: Group to be re-designated For Group B2b (nicarbazin) and B2f: AFBI, Veterinary Sciences Division, Stoney Road, Stormont, Belfast, BT4 3SD
Salmonella in Food	FSA	Public Health England (PHE), FW&E Microbiology Network, PHE National Infection Service, PHE-Colindale, 61 Colindale Avenue, London NW9 5EQ
Plant Health		
Pests on plants – Bacteria Pests on plants - on Viruses, Viroids and Phytoplasmas Pests on plants - on Insects and mites Pests on plants - on Fungi and oomycetes Pests on plants - on Nematodes	Defra	Fera Science Ltd, Sand Hutton, York YO41 1LZ Science and Advice for Scottish Agriculture (SASA), Roddinglaw Road, Edinburgh EH12 9FJ In addition, the following laboratory will be an additional NRL for nematodes: AFBI, Newforge Lane, Belfast BT9 5PX

The below table lays out arrangements in place to ensure that NRLs operate in accordance with Regulation 2017/625, that quality control or management systems are in place and that there are arrangements for planning and conducting proficiency or ring tests.

NRL	Arrangements to ensure NRLs operate in accordance with Article 100 and 101 of Regulation 2017/625	Quality control or management systems in place in the NRL	Arrangements for planning and conducting proficiency or ring tests during the period of the NCP
<p>AFBI</p> <p>For A1, A2, A3, A4, A5, A6 (nitrofurans except in honey, nitromidazoles):</p> <p>For Group A6 (chloramphenicol, nitrofurans in honey, dapsone):</p> <p>For Group A6 (chlorpromazine):</p> <p>Group to be re-designated”</p> <p>For Group B1, B2a, B2b (ionophores)</p>	<p>VMD chairs regular meetings (approximately twice a year) of all NRLs for residues to discuss how they are discharging their duties under Articles 100 and 101 of Regulation 2017/625</p>	<p>Laboratories operate to ISO 17025. They also attend the relevant EU-RL briefing and training courses</p>	<p>The laboratories participate in a range of proficiency tests, which are discussed at the VMD/NRL meetings</p>
<p>AFBI Northern Ireland - Fish Disease Unit</p>	<p>SLA with DAERA Marine and Fisheries Division and AFBI Fish Disease Unit</p>	<p>AFBI is accredited by UKAS to ISO 17025 and ISO 9001 standards. AFBI has ISO 17025 flexible scope in place for real time molecular assays. All ISO 17025 molecular assays are subject to an internal audit on an annual basis. AFBI is subject to an external audit by UKAS</p> <p>Additional validation dossiers are underway for real time RT-PCR assays for OSHV-1 μvar, Marteilia refringens, Spring Viraemia of Carp, Bacterial Kidney Disease and White Spot Disease for submission to UKAS</p>	<p>To satisfy the requirements of ISO 17025 and ISO 9001 accreditation, AFBI participate in ring tests covering all of the major notifiable aquatic pathogens</p>

NRL	Arrangements to ensure NRLs operate in accordance with Article 100 and 101 of Regulation 2017/625	Quality control or management systems in place in the NRL	Arrangements for planning and conducting proficiency or ring tests during the period of the NCP
<p>AFBI Northern Ireland - Shellfish Toxin Unit</p> <p>For Phytoplankton monitoring</p>	<p>Contract between FSA and AFBI takes account of requirements in Regulation 2017/625. The FSA meets regularly with AFBI to discuss how they are meeting the requirements of the Regulation</p>	<p>Laboratory operates to ISO/EC 17025. Methods are UKAS accredited</p> <p>Representatives attend the relevant EU-RL briefing and training courses</p>	<p>AFBI participates in EU-RL ring trials, proficiency tests and the QUASIMEME Proficiency Scheme. As there are insufficient laboratories to conduct meaningful proficiency testing, the laboratories concerned participate in other proficiency schemes to maintain their accreditation</p>
<p>APHA</p>	<p>SLA with Defra requires APHA to be compliant with the requirements of Regulation (EC) No 2017/625 and Regulation (EC) No 882/2004</p>	<p>The laboratory testing facilities are UKAS accredited to ISO/EC 17025:2005 (IDs 0941 and 1769) for a range of tests for all the diseases listed. APHA is an Official Laboratory for the diseases asterisked, able to provide emergency testing in outbreaks</p> <p>APHA is certified to BS EN ISO 9001:2008. This includes the provision of a range of specialist veterinary scientific services to the government and other customers world-wide (Certificate No. LRQ 4000436). Additionally, APHA holds GLP and GMP approval and complies with the Joint Code of Practice for Research projects and Good Clinical Practice (Veterinary) quality standards</p>	<p>The APHA Quality Control Unit is an accredited Type A Inspection Body (ID 5640, audited to UKAS to ISO/IEC 17020:2012)</p> <p>The APHA Quality Assurance Unit is an accredited Proficiency Testing provider (ID 0004, audited by UKAS to ISO/IEC 17043:2010). This Unit provides regular proficiency testing schemes to APHA Laboratories and other International customers for these and other diseases (with the exception of Equine Encephalomyelitis, Bluetongue, and Teschen). Participation in European and International ring trials is undertaken as appropriate</p> <p>APHA maintains contingency plans for outbreak readiness and surge capacity for all diseases in its portfolio and also those in the portfolio of the Pirbright Institute</p>

NRL	Arrangements to ensure NRLs operate in accordance with Article 100 and 101 of Regulation 2017/625	Quality control or management systems in place in the NRL	Arrangements for planning and conducting proficiency or ring tests during the period of the NCP
<p>APHA For Trichinella and Echinococcus</p>	<p>Contract with FSA requires APHA to be compliant with the requirements of Regulation 2017/625</p>	<p>APHA activities are accredited to ISO 9001:2000, a formal management system. The laboratory facilities are UKAS accredited to ISO/EC 17025:2000</p>	<p>APHA participates in EU-RL organised ring trials and organises ring trials for the UK OCLs</p>
<p>Cefas</p>	<p>SLA and MoU with Defra takes account of requirements in Regulation 2017/625</p>	<p>Cefas is UKAS accredited under ISO 17025 for sampling and diagnostic work for major diseases. In addition, the Fish Health Inspectorate operates a competency framework to ensure best practice by its field inspectors. The accredited quality systems at the Cefas Weymouth laboratory are audited annually by UKAS. Cefas is also certified to BS EN ISO 9001:2015 and BS EN ISO14001:2015</p>	<p>Participates in ring tests organised by the EU Reference Laboratories for finfish, molluscan and crustacean diseases covering all major notifiable and emerging aquatic pathogens</p>
<p>Cefas</p>	<p>Agreement between FSA and Cefas takes account of requirements in Regulation 2017/625. 6-monthly project reviews with FSA project officer to ensure NRL duties are fulfilled and agreed objectives delivered</p>	<p>Laboratory operates to ISO/EC 17025. All methods are UKAS accredited</p>	<p>Participation in EU-RL-organised ring trials and in a number of PHE external quality assessment schemes (norovirus and hepatitis A virus, pathogenic vibrios, shellfish). Details are available here</p>

NRL	Arrangements to ensure NRLs operate in accordance with Article 100 and 101 of Regulation 2017/625	Quality control or management systems in place in the NRL	Arrangements for planning and conducting proficiency or ring tests during the period of the NCP
Fera Science Ltd	<p>Contract with the FSA takes account of requirements in Regulation 2017/625 and that of an NRL</p> <p>Fera Science Ltd has set up a Steering Group to cover all aspects of the chemical contaminants NRL issues. All OCLs are invited to this Steering Group as well as FSA staff</p> <p>Fera has an open website on which information is disseminated regarding the EU-RL-NRL network activities, including proficiency tests</p>	<p>BS EN ISO 9001 (BS5750 Part 1) granted</p> <p>Accredited to ISO/IEC 17025:2005 in relation to referee analyst of feedingstuffs</p> <p>The laboratory is accredited by UKAS to ISO/EC 17025:2000 for tests carried out. It has over 90 procedures accredited. Fera Science Ltd has certification under ISO 9001/2000</p> <p>Fera ensures that projects are carried out in compliance with the DEFRA/FSA Joint Code of Practice for Research</p>	<p>The laboratory will take part in/organise such activities as required by the EU-RL</p> <p>As part of the requirements for accreditation, Fera participates in appropriate FAPAS series. It will also participate in proficiency tests arranged by the EU-RL</p>
LGC Ltd	<p>The contract between LGC and FSA takes account of requirements in regulation (EC) 2017/625.</p> <p>The core and ad hoc duties set out in the contract reflect the requirements of an NRL as set out in Regulation 2017/625</p>	<p>Certification to ISO 9001:2000 for all activities and accreditation to ISO 17025 in relation to referee analysis of feedingstuffs</p> <p>Participation in external quality assessment exercises. Adherence to working instructions and performance monitoring to ensure full traceability of results</p>	<p>Participates in EU-RL proficiency tests and ring trials (the latter as and when required). LGC, the UK NRL for GMOs, is an active member of the European Network of Genetically Modified Organism (GMO) Laboratories (ENGL) and provides advice and encourages other UK ENGL members to participate in the EU-RL PT rounds</p>

NRL	Arrangements to ensure NRLs operate in accordance with Article 100 and 101 of Regulation 2017/625	Quality control or management systems in place in the NRL	Arrangements for planning and conducting proficiency or ring tests during the period of the NCP
MSS Marine Laboratory	Agreed programme of work within Marine Scotland, which is a Directorate of the Scottish Government takes account of requirements in Regulation 2017/625.	MSS is UKAS accredited to ISO 17020 standard for inspection and sampling of fish farm sites. Laboratory procedures concerning disease diagnosis are UKAS accredited to ISO 17025 standards with flexible scope in certain areas. An internal audit programme is implemented. MSS is subject to annual audit by UKAS	Participate in ring tests organised for finfish, molluscan and crustacean diseases covering all major notifiable aquatic pathogens. Organise ring tests to satisfy accreditation bodies
Public Health England (PHE)	The contract between PHE and the FSA takes account of requirements in Regulation 2017/625. The specification document and regular meetings with FSA ensures NRL duties are fulfilled	PHE is accredited to ISO 17025 and necessary EN/ISO standards for all micro-organisms relevant to the NRL function. PHE applies a total Quality Management system to all laboratory activities to meet the relevant standards equivalent to BS EN ISO 9000	PHE will take part in/organise such activities as required by the EU-RL and organise UK ring trials or other initiatives for OCLs as appropriate
Pirbright Institute	Considered as part of the annual review of the contract between Defra and the Pirbright Institute	The laboratory testing facilities are UKAS accredited to ISO/EC 17025:2005 (ID: 4025) for an extensive range of tests for all the diseases listed	The Pirbright Institute organises International Proficiency testing schemes within its remit of OIE and FAO reference laboratory, as and when required Participation in European and International ring trials is undertaken as appropriate

Appendix P - Official Laboratories

Laboratories designated by the FSA

A [list of FSA designated official laboratories](#) is published on the FSA website.

Laboratories designated by CRD for pesticide residue analysis

Fera Science Ltd	Accreditation is checked annually and laboratories are contractually obliged to inform the CRD about changes to their accreditation and are required to attain acceptable scores in relevant national and European proficiency tests
Agri-Food Biosciences Institute (AFBI)	
Science and Advice for Scottish Agriculture (SASA)	

Laboratories designated for analysis of residues of veterinary medicines

Fera Science Ltd	Laboratories have accredited methods in place for the analyte/matrix combinations in the residues programme. The analytical methods employed also meet the requirements of Commission Decision 2002/657
AFBI	

Laboratories designated for analysis for analysis of medicated feedingstuffs and SFAs (additives, premixtures and compound feedingstuffs)

Fera Science Ltd	Responsible for analysis of samples of feed for the detection of banned antibiotic growth promoters in feed. Fera Science Ltd is accredited to ISO17025 and audited by UKAS
Sciantec Analytical Services Ltd, Cawood, North Yorkshire	Sciantec is accredited to ISO17025 and audited by UKAS. The VMD has an agreed arrangement with Sciantec for the analysis process
Public Analyst	Public Analyst operates to a MoU with DAERA which is reviewed annually
AFBI (Northern Ireland)	AFBI operates in adherence to a sampling and analysis plan drawn up by DAERA

Laboratories designated for the testing of samples from mammals and birds for notifiable diseases taken as part of an investigation

APHA sub-contracts the laboratory work/testing to other appropriate laboratories which meet certain specified standards and which are imposed and monitored by the APHA	The laboratory testing facilities are UKAS accredited to ISO/EC 17025:2005 (Lab no. 1769) for an extensive range of tests. APHA is certified to BS EN ISO 9001:2008. This includes the provision of a range of specialist veterinary scientific services to the government and other customers world-wide (Certificate No. LRQ 4000139) APHA holds GLP and GMP approval and complies with the Joint Code of Practice for Research projects and Good Clinical Practice (Veterinary) quality standards
Pirbright Institute	Current accredited tests are listed in the TPI's ISO/IEC 17025 Schedule of Accreditation available via the UKAS website: reference 4025. TPI operates under a contract and delivery plan reference PU/T/WL/11/33 agreement with the Biotechnology and Biological Sciences Research Group (BBSRC) for the contracting of services between BBSRC and Defra

Official laboratories for bee health controls

Fera Science Ltd	Fera's laboratory work is carried out in accordance with ISO 9001:2015 and is subject to internal and external audits to ensure compliance. Methods for pesticide testing are accredited to ISO 17025
SASA	SASA is certified to ISO 9001:2008 for all its activities and accredited by UKAS to ISO 17025:2005 for a number of test methods used by the Pesticides and Wildlife Branch, the Plant Health Potato Quarantine Unit and the Official Seed Testing Station for Scotland (OSTS). The OSTS is also accredited by the International Seed Testing Association (ISTA)
AFBI	AFBI is accredited to ISO 9001 and receives regular internal and external audits to ensure compliance. AFBI is committed to the ongoing improvement of its services through the establishment and review of specific measurable quality objectives, and the involvement of staff in meeting these objectives

Official laboratories for aquatic animal diseases

Cefas Weymouth Laboratory	Laboratories are accredited by the UKAS under the ISO 17025 standard and are approved for testing samples from fish and shellfish for notifiable (listed) diseases Cefas operates under a MoU between Defra and the FHI covering the Inspectorate's responsibilities and activities
MSS Aberdeen Laboratory	The work MSS carries out is governed by a Service Level Agreement, set out on an annual basis
AFBI	There is a Service Level Agreement (SLA) in place between DAERA Fisheries Division and the Fish Disease Unit at AFBI. The SLA sets out the annual agreed work programme and an annual audit by DAERA in respect of sampling and reporting procedures is carried out

Appendix Q – UK Delegated Bodies

Competent authority delegating control task	Delegated bodies	Tasks delegated	Measures taken in accordance with Regulation (EC) No 882/2004
Feed and food controls			
FSA/FSS	Official feed and food control laboratories (Public Analyst and Agricultural Analyst and Food Examiner laboratories), including laboratories for marine biotoxins, phytoplankton, chemical contaminants and shellfish viral and microbiological monitoring	Chemical analysis and microbiological examination of official feed and food samples	<ul style="list-style-type: none"> • All official laboratories are accredited line with appropriate standards • A description of the tasks to be undertaken is provided • Arrangements are in place for the independent inspection and audit of official laboratories and the withdrawal of delegation if agreed standards of performance are not met • Arrangements are in place for reporting the outcome of official controls
FSA – Operations	PHE (from 1 June 2019 – England and Wales only as no raw milk sold in Scotland)	Testing of raw cows drinking milk (RCDM) for human consumption	<ul style="list-style-type: none"> • Contract in place specifying sampling requirements and timescales for results. Quarterly and annual review meetings are held to ensure key performance indicators are met.
	APHA	Monitoring of Feral wild boar for trichinella	<ul style="list-style-type: none"> • SLA in place specifying sampling requirements and timescales for results, Quarterly and annual review meetings are

Competent authority delegating control task	Delegated bodies	Tasks delegated	Measures taken in accordance with Regulation (EC) No 882/2004
	Biobest	Monitoring of farmed animals for trichinella	<p>held to ensure key performance indicators are met.</p> <ul style="list-style-type: none"> Contract in place specifying sampling requirements and timescales for results, immediate notification of non-negative results and summary reports. Bi-Annual meetings to review performance with supplier.
HSE	Intel Group Limited RPA	Sample collection for pesticide residues in food monitoring	<ul style="list-style-type: none"> Contracts are in place specifying work plans, review dates and reporting arrangements. HSE is currently exploring the options for independent audit
HSE	Fera Science Ltd AFBI SASA	Official laboratories used in the pesticide residue monitoring programme	<ul style="list-style-type: none"> Contracts and LTSA's are in place specifying work plans, review dates and reporting arrangements for analysis and results
VMD	Fera Science Ltd	<p>Analysis of statutory veterinary residue surveillance samples</p> <p>Analysis of feed to detect banned antibiotic growth promoters</p> <p>Analysis of feed samples containing veterinary medicines or SFAs</p>	<ul style="list-style-type: none"> Fera works to a Specification of Requirements laid down in its LTSA with the VMD. As part of the LTSA it undertakes to have appropriately qualified staff and equipment to carry out the analytical work. There is a nightly results download Fera is accredited to ISO17025 Inspectors of UKAS, the FVO, the United States Department of Agriculture (USDA) and the VMD independent audit team audit Fera Sciantec – is accredited to ISO 17025 and audited by UKAS

Competent authority delegating control task	Delegated bodies	Tasks delegated	Measures taken in accordance with Regulation (EC) No 882/2004
Defra - Stakeholder Engagement Behavioural Change and Better Regulation Core Function	Approved private organic inspection bodies	Control and certification of organic production (as required by Council Regulation 834/2007 , Commission Regulation 889/2008 and Commission Regulation 1235/2008)	<ul style="list-style-type: none"> Control bodies are independently accredited and audited by UKAS against Standard ISO 17065 A description of delegated tasks is provided to the control bodies. They report their findings to Defra Further details of the arrangements for control bodies are provided in the Organic Certification and Inspection Approval Programme Control Manual. The manual is currently under review
Defra - Regional and Local Food team, Food Policy Unit	Private inspection bodies and/ or Local Trading Standards Authorities, in their capacity as Competent Authorities, can also fulfil the role of inspection bodies ²²	Ensuring that producers of registered protected food names are complying with the registered specification for those products (as required by Regulation (EU) 1151/2012)	<ul style="list-style-type: none"> Private inspection bodies must be independently accredited and audited by UKAS against ISO/IEC 17065:2012 Local Trading Standards Authorities in their capacity as Competent Authorities must be able to demonstrate that, as far as possible, they are able to comply with the principles of the EN 45011 Standard²³ Defra must be informed of all outcomes of official controls on an agreed regular basis

²² Defra is currently carrying out a major update of its website with the aim of including more information about the inspection process, role of delegated bodies and its own role. Included in this will be a list of the UK delegated bodies and their contact details. Information [about those bodies and those in other member states](#) can be found on the Commission website.

²³ The ISO/IEC 17065: 2012 – Conformity assessment – Requirements for bodies certifying products, processes and services, was published in September 2012 and will replace ISO Guide 65 and EN 45011. In accordance with an International Accreditation Forum (IAF) decision, the implementation of the new standard will be subject to a three-year transition period.

Competent authority delegating control task	Delegated bodies	Tasks delegated	Measures taken in accordance with Regulation (EC) No 882/2004
Defra – Zoonoses Policy team	Approved industry independent delegated bodies	Delegated to carry out routine official sampling and inspection visits to members of approved industry control programmes or members of specified industry assurance schemes on behalf of the CA under Salmonella National Control Programmes	<ul style="list-style-type: none"> Official control sampling under the requirements of the <i>Salmonella</i> National Control Programmes (Regulation (EC) No. 2160/2003) in the laying hen and turkey sectors
Animal Health			
Defra / DAERA (Animal Health)	Private laboratories approved to undertake work in respect of the Salmonella National Control Programmes, the Trade in Animals and Related Products Regulations 2011 and the Animal By-Products Regulations 2013	Laboratory examination of samples for the detection of <i>Salmonella</i> , Enterobacteriaceae, <i>E. coli</i> and <i>Clostridium perfringens</i> and <i>Mycoplasma gallisepticum</i> or <i>M. meleagridis</i> .	<p>The list of designated GB approved laboratories is available on the Defra website</p> <p>List and contact details of Defra Approved Laboratories for testing under the Poultry Health Scheme (PHS)</p> <p>The list of designated Northern Ireland approved laboratories is available on the DAERA website</p>
Defra	APHA, Weybridge	Genotyping of sheep in support of scrapie controls	DNA testing organisation accredited to quality standard ISO 17025. Operates under contract to Defra
Defra	LGC, Risley	BSE testing for cattle slaughtered for human consumption	Approved under Transmissible Spongiform Encephalopathies (England) Regulations 2010 following satisfactory evaluation by the NRL (TSE). Approval criteria / and includes ISO17025 accreditation

Appendix R – Number of Control Staff in the UK

Total number of FTE staff involved in controls on food safety, animal and plant health and animal welfare in the UK as at 31 March 2019

Authority	Role	Full time equivalents (FTE)	Total
FSA	Meat Hygiene Inspector (including casuals)	329.8	1,643
	Inspector Team Leader	32	
	Field Veterinary Leader	11	
	Audit Veterinary Leader	4	
	Field Veterinary Coordinators	13.6	
	Veterinary Auditors	15	
	Veterinary Internal Auditors	3	
	Official Veterinarians (OVs)	1.5	
	Dairy Hygiene Inspectors (including 1 Lead DHI)	10	
	Area Managers	12	
	Policy/admin/support staff	716.5	
	Contracted Meat Hygiene Inspectors	261	
	Contracted OVs	233.6	
FSS	Comms and Marketing	11	255.2 ²⁴
	Private Office	7	
	Corporate Services	26.2	
	Audit	5.8	
	Regulatory Policy	15.8	
	Enforcement Delivery	13	
	Nutrition, Science and Policy	7.5	
	Food Protection Science and Surveillance	10.4	
	SSIA	2.4	
	Scottish Food Crime and Incidents Unit	15.8	
	Ops Delivery (Head Office)	5.9	
	Ops Delivery (Area 1)	13.6	
	Ops Delivery (Area 2)	24.5	
	Ops Delivery (Area 3)	21.3	
	Senior Management Team	4	
	Contract Meat Hygiene Inspectors	22	
	Locum Contract Meat Hygiene Inspectors	4	
	Official Vets	43	
Locum Official Vets	2		
Local authorities	Environmental Health Officers and Trading Standards Officers	1,793	1,793

²⁴ This data excludes staff on maternity, paternity, adoption leave and does not include the contractor staff working for operations. This data includes contingent staff – agency workers, fixed term appointment, secondment and inward loan.

Authority	Role	Full time equivalents (FTE)	Total
Defra	Plant, Tree and Seed Health team	54.4	249.6
	Animal Welfare team	42.8	
	Bovine Tuberculosis team	36.2	
	Exotic Disease Control team	22.6	
	Science and International Affairs team	15	
	Future Animal and Plant Health, Endemics and Traceability	46.8	
	Imports, Exports and EU Trade	31.8	
Welsh Government	Office of Chief Veterinary Officer for Wales:		118.25
	Chief veterinary officer	1	
	Senior veterinary officer	1	
	Veterinary advisers	5	
	Administrative and policy staff	54	
	Rural Inspectorate for Wales:		
	Inspectors	43	
	Line managers	5	
	Senior managers	3	
	Administrative staff	6	
	Internal audit	0.25	
	Scottish Government	Enterprise, Environment and Innovation:	
Inspectors		2	
Animal Health and Welfare Division:			
Chief veterinary officer		1	
Deputy chief veterinary officer		1	
Veterinary surgeons		4	
Scientific advisor		1	
Administrative and policy staff including EU Exit team		32	
Rural Payments and Inspectorate Division:			
Inspectors		180	
Egg and Poultry Unit			
Inspectors		5	
Internal audit		0.5	
Plant health:			
Inspectors		63	
Inspectors - Horticulture and Marketing Unit		11	
Support staff	28		
Policy staff	2		

Authority	Role	Full time equivalents (FTE)	Total
APHA	Administrative staff	941.5	2,296.5
	Management	305.7	
	Inspectors	139.5	
	Science	391.2	
	Technical	232.5	
	Veterinary	286.1	
VMD	National residues surveillance scheme	4	31
	Policy advice on medicated feedingstuffs and feed additives	3	
	Inspections and Investigations team (10 inspectors plus 3 admin staff)	13	
	Antimicrobial Resistance team	11	
DAERA	Agri-Food Inspection Branch*	260.81	303.28
	Veterinary Service / Veterinary Public Health Programme	36.97	
	*Includes 33 Policy, Inspectorates and admin support staff for Plant health)		
	*Includes 1 Senior Inspector [supported by 1 seasonal inspector] for Bee Health)		
	3 FHI and 2 Admin in Aquatic Animal Health 0.5 Internal Audit		
HSE	Risk assessments	0.5	5
	Pesticide residue monitoring	4.5	
	Please note: contract staff including laboratory data for HSE are not available.		
RPA	British Cattle Movement Service staff	97	264
	Inspectors	167	
Forestry Commission	Plant Health		26
	Policy, administrative and support staff Inspectors	6 20	
Fera Science Ltd	Staff supporting plant health quarantine regulations	51.5	72.2
	Staff supporting Bee Health	3.2	
	Staff Supporting Veterinary Medicines regulations	17.5	
Bee Health	England and Wales:		81
	Policy support staff	5	
	National bee unit central support staff	8	
	Bee inspectors	60	
	Scotland:		
	Policy support staff	2	
	Scientific specialist	1	
Apiculture specialist	1		
Bee Inspectors	4		
Pirbright Institute	Lead Scientists	29	29

Authority	Role	Full time equivalents (FTE)	Total
Cefas	Food Safety staff	35	56
	Aquatic Animal Health	21	
MSS	Laboratory, Research and Epidemiology staff	16	34
	FHI staff	18	

Appendix S – Abbreviations & Acronyms

AACF	Assurance and Counter Fraud
ABP	Animal By-products
ADAS	Agricultural Development and Advisory Service
ADI	Acceptable Daily Intakes
AFBI	Agri-Food and Biosciences Institute
AIC	Agricultural Industries Confederation
AMR	Antimicrobial Resistance
APHA	Association of Port Health Authorities
APHA	Animal and Plant Health Agency
APHIS	Animal and Public Health Information System
ARAC	Audit and Risk Assurance Committee
ARE	Agriculture and Rural Economy
BBSRC	Biotechnology and Biological Sciences Research Council
BCMS	British Cattle Movement Service
BIP	Border Inspection Post
BIS	Department for Business, Innovation and Skills
BSE	Bovine Spongiform Encephalopathy
CA	Competent Authority
CAP	Common Agriculture Policy
CCA	Central Competent Authority
CEFAS	Centre for the Environment, Fisheries and Aquaculture Science
CRD	Chemicals Regulations Directorate
CTS	Cattle Tracing System
CVO	Chief Veterinary Officer
DAERA	Department for Agriculture, Environment and Rural Affairs (Northern Ireland)
Defra	Department for Environment, Food and Rural Affairs
DHI	Dairy Hygiene Inspector
DHSC	Department of Health and Social Care
DNA	Deoxyribonucleic Acid
EEC	European Economic Community
EFSA	European Food Safety Authority
EFAT	European Funds Audit Team
EHO	Environmental Health Officer
ESNR	Economy, Skills and Natural Resources Department (Welsh Government)
EU	European Union
EURL	European Union Reference Laboratory
EWS	Early Warning Systems

FC	Forestry Commission
FEPA	Food and Environment Protection Act
FERA	Food and Environment Research Agency
FFaB	Food, Farming and Biosecurity System
FHI	Fish Health Inspectorate (Cefas)
FHIS	Food Hygiene Information Scheme (Scotland)
FHRS	Food Hygiene Rating Scheme
FTE	Full Time Equivalent
FVL	Field Veterinary Leads
GB	Great Britain
GIAA	Government Internal Audit Agency
GM	Genetic Modification
GMOs	Genetically Modified Organisms
HACCP	Hazard Analysis Critical Control Point
HSE	Health and Safety Executive
IMP	Incident Management Plan
IT	Information Technology
KPI	Key Performance Indicators
LAEMS	Local Authority Enforcement Monitoring System
LGA	Local Government Association
LNf	Land Nature Forestry
MANCP	Multi-Annual National Control Plan
MoU	Memorandum of Understanding
MS	Marine Scotland
MSS	Marine Scotland Science
NAP	National Agricultural Panel
NAW	National Assembly for Wales
NBU	National Bee Unit
NIFAC	Northern Ireland Food Advisory Committee
NIGTA	Northern Ireland Grain Trade Association
NILGA	Northern Ireland Local Government Association
NPPO	National Plant Protection Organisation
NRL	National Reference Laboratory
PAP	Processed Animal Protein
PHA	Public Health Authority
PHE	Public Health England
PHSI	Public Health and Seeds Inspectorate
PHW	Public Health Wales
POAO	Products of Animal Origin
PRIF	Pesticides Residues in Food

PSIAS	Public Sector Internal Audit Standards
PSP	Paralytic Shellfish Poisoning
RASFF	Rapid Alert System for Food and Feed
RPA	Rural Payments Agency
RPW	Rural Payments Wales
SFA	Specified Feed Additives
SFELC	Scottish Food Enforcement Liaison Committee
SFCIU	Scottish Food Crime and Incidents Unit
SG	Scottish Government
SG ARE	Scottish Government Agriculture and Rural Economy Directorate
SGIAG	Scottish Government Internal Audit Directorate
SG RPID	Scottish Government Rural Payments and Inspectorate Division
SG AHW	Scottish Government Animal Health and Welfare Division
SG SASA	Scottish Government Science and Advice for Scottish Agriculture
SLA	Service Level Agreement
SRUC	Scotland's Rural College
TB	Tuberculosis
TRACES	Trade and Control Expert System
TSE	Transmissible Spongiform Encephalopathy
UK	United Kingdom
UKAS	United Kingdom Accreditation Service
UKBF	United Kingdom Border Force
UKFSS	UK Food Surveillance System
VMD	Veterinary Medicines Directorate
VMP	Veterinary Medicinal Products
VRG	Veterinary Risk Group
VSAHG	Veterinary Service Animal Health Group
WG	Welsh Government
WGEERA	Welsh Government Environment, Energy and Rural Affairs
WHOTS	Wales Heads of Trading Standards Group