



progressive

Food Standards Scotland

Evaluation of the
Official Controls Verification Pilot

Final Report - Appendices

28 March 2019



Appendix A: Research Approach

Method

The research was undertaken in three broad phases:

- Benchmarking surveys
- Officer Record Sheets
- Post-Pilot Interviews

Benchmarking Surveys

1. The data was collected by on-line survey
2. The target group for this research study was all Food Businesses and Competent Authority Officers involved in the Pilot
3. The sampling frame for this study was all Businesses and officers involved in the OCV system Pilot.
4. It is noted that the authorities selected for the Pilot were selected by SFELC Approved Establishments Working Group.
5. Food Business sample was provided by the SFELC Approved Establishments Working Group. This was to ensure that FSS (client-side) remain unaware of which businesses were taking part in the Pilot. The participating authorities provided sample information relating to officers.
6. The target sample size 53 business with a response of 29 (55%) and 45 officers over the 10 authorities with a response of 39 (87%).
7. Fieldwork was undertaken between 16 March and 27 April 2018
8. Data validation: The data gathered using the on-line survey was validated using the following techniques:
 - Internet surveys using client lists use a password system to ensure that duplicate surveys are not submitted. The sample listing is also de-duplicated prior to the survey launch.
 - Where some profiling information has been provided on the sample list, this is also checked off against responses where possible to validate the data.
 - Where a self-completion survey is returned anonymously there will not be any opportunity for validation. However, all questionnaires returned undergo rigorous editing and quality checks and any thought to be invalid were removed from further processing.

Data processing and analysis

9. The data processing department undertakes a number of quality checks on the data to ensure its validity and integrity. These checks include:
 - Responses are checked for duplicates where unidentified responses have been permitted.
 - All responses are checked for completeness and sense.
 - Depending on the requirements of the survey, and using the analysis package, SNAP, data is either imported from email responses received in a dedicated email inbox or stored directly on Progressive's dedicated server

10. A computer edit of the data was carried out prior to analysis involves both range and inter-field checks. Any further inconsistencies identified at this stage was investigated by reference back to the raw data on the questionnaire.
11. Where 'other' type questions were used, the responses to these were checked against the parent question for possible up-coding.
12. Responses to open-ended questions were normally spell and sense checked. Where required these responses may be grouped using a code-frame which can be used in analysis.
13. A SNAP programme was set up with the aim of providing the client with useable and comprehensive data. Crossbreaks were discussed with the client in order to ensure that all information needs are met.

Officer Record Sheets

14. The data was collected using an on-line survey form
15. The research participants were officers participating in the OCV Pilot Inspections.
16. The lead officer in each authority was issued with links to the survey forms for their area. These links were ID and password protected.
17. The target was a completed record sheet for all completed OCV inspections
18. 57 links were issued, but 6 businesses were withdrawn by the authorities for various operational reasons).
19. Fieldwork was undertaken between 1 May and 27 October
20. 51 record sheets submitted at the end of the Pilot: of these related to inspection cycles that were complete and 30 to inspection cycles that were incomplete.
21. The overall timescale for authorities to undertake the Pilot was shorter than originally anticipated: and in particular, the time available for the OCV Inspections was substantially curtailed. As a consequence, the number of inspections completed during the Pilot period was reduced. The evaluation responded to this, by enabling officers to submit partially completed ORS. A slight extension to the submission deadline was provided, to enable officers to complete record forms (as far as possible) for all businesses.
22. were validated using the following techniques:
23. The data processing department undertook a number of quality checks on the data to ensure its validity and integrity. For *The submitted officer record sheets* these checks include:
 - Responses were checked for duplicates where unidentified responses have been permitted.
 - All responses are checked for completeness and sense.
 - Depending on the requirements of the survey, and using the analysis package, SNAP, data is either imported from email responses received in a dedicated email inbox or stored directly on Progressive's dedicated server
24. A computer edit of the data was carried out prior to analysis involves both range and inter-field checks. Any further inconsistencies identified at this stage was investigated by reference back to the raw data on the questionnaire.
25. Where 'other' type questions were used, the responses to these were checked against the parent question for possible up-coding.
26. Responses to open-ended questions were normally spell and sense checked. Where required these responses may be grouped using a code-frame which can be used in analysis.
27. A SNAP programme was set up with the aim of providing the client with useable and comprehensive data.

Post-Inspection Interviews

1. The data was collected by semi-structured interviews
2. The target group for this research study was Food Businesses and Lead officers involved in the OCV system Pilot.
3. The sampling frame used for this study was – as for the Benchmarking and ORS (updated as appropriate).
4. In total, 10 teledepths were held with FBs, each lasting about 30 mins. Fieldwork was undertaken between 3 September and 16 November 2018
5. In total 10 teledepths were held with Lead officers, each lasting about 60 mins. Fieldwork was undertaken between 22 October and 16 November 2018
6. In total, 2 moderators were involved in the fieldwork for this project.

All research projects undertaken by Progressive comply fully with the requirements of ISO 20252, the GDPR and the MRS Code of Conduct.

Appendix B: Research instruments

1. Benchmarking Survey Local Authority Officers - Questionnaire:
2. Benchmarking Survey Food Businesses - Questionnaire:
3. Approvals Pilot Inspection - Record Sheets
4. Competent Authorities Post Pilot Interview – Topic Guide
5. Food Businesses Post Pilot Interview – Topic Guide

Food Standards Scotland

Pilot of an enhanced inspection system for Approvals and Manufacturing Benchmarking Survey: Local Authority Food Officer

12.03.2018

Introduction

The SFELC Approved Establishments Working Group (AEWG) has been reviewing the approvals work associated with EC Regulation 853/2004, and has developed an enhanced system for official control interventions at approved establishments. The enhanced system is currently being piloted by FSS and nine Scottish Local Councils across approximately 50 Food businesses.

Progressive, a research company, has been appointed by FSS to provide an independent evaluation of the pilot, by:

- evaluating the impact of the new enhanced system for official control interventions on food business operators, including time/resource/finance
- evaluating the impact of the new enhanced system for official control interventions on Local Authorities, including time and resources, and
- determining whether the approach is fit for purpose - considering issues such as documentation and training, etc.

To inform the study, we are collecting information **about inspection practice before the Pilot begins.**

It will take about 10 minutes to complete.

We are interested in how you have typically carried out inspections in the last two years (or, since you started working as an inspector if started working in food safety within the last two years).

Planning

6. During the Planning Stage of inspections, generally how often would you complete each of the following activities?

	In 100% of Official Controls	Usually – in about 90% of Official Controls	Frequently – in about 70% of Official Controls	Sometimes – in about 50% of Official Controls	Occasionally - In about 30% of Official Controls	Rarely – less than 10% of Official Controls	Never	Don't know
A. Produce a general profile of the Food Business	1	2	3	4	5	6	7	8
B. Request a complete set of pre-inspection documentation from the FBO	1	2	3	4	5	6	7	8
C. Confirm receipt of a complete set of pre-inspection documentation from the FBO	1	2	3	4	5	6	7	8
D. Undertake FSMS review prior to inspection	1	2	3	4	5	6	7	8
E. Plan the inspection	1	2	3	4	5	6	7	8

7. How long would you typically spend on the Planning Stage of the Official Control [HOURS]?

Number	
Time (hours)	

Inspection Stage

8. During the Inspection Stage, generally how often would you complete each of the following activities?

	In 100% of Official Controls	Usually – in about 90% of Official Controls	Frequently – in about 70% of Official Controls	Sometimes – in about 50% of Official Controls	Occasionally - In about 30% of Official Controls	Rarely – less than 10% of Official Controls	Never	Don't know
A. Opening meeting	1	2	3	4	5	6	7	8
B. Review relevant documentation to assess relevance and accuracy	1	2	3	4	5	6	7	8
C. Inspect all relevant processes, practices and records to assess whether they comply with food safety regulations	1	2	3	4	5	6	7	8
D. Determine whether relevant	1	2	3	4	5	6	7	8

records are being maintained by the Food Business										
E. Identify corrective actions	1	2	3	4	5	6	7	8		
F. Hold a closing meeting with the FBO /rep to discuss the inspection findings	1	2	3	4	5	6	7	8		
G. Produce a final report outlining the inspections outcomes and any actions required.	1	2	3	4	5	6	7	8		

9. On a scale of one to ten, where 1 means they make very little contribution and 10 means they make a significant contribution, how would you rate each of the following activities in delivering Official Controls?

	1	2	3	4	5	6	7	8	9	10	Don't know
A. Opening meeting	1	2	3	4	5	6	7	8	9	10	11
B. Reviewing relevant documentation to assess relevance and accuracy	1	2	3	4	5	6	7	8	9	10	11
C. Inspecting all relevant processes, practices and records to assess whether they comply with food safety regulations	1	2	3	4	5	6	7	8	9	10	11
D. Determining whether relevant records are being maintained by the FBO	1	2	3	4	5	6	7	8	9	10	11
E. Identifying corrective actions	1	2	3	4	5	6	7	8	9	10	11
F. Holding a closing meeting with the FBO/rep to discuss the inspection findings	1	2	3	4	5	6	7	8	9	10	11
G. Producing a final report outlining the inspections outcomes and any actions required.	1	2	3	4	5	6	7	8	9	10	11

10. How much time would you generally spend on the Inspection Stage (from opening meeting to closing meeting) (HOURS)?

Number	
Time (hours)	

General

11. How important do you think Food Law inspections are to local food business, in terms of the following?

	Very important	Fairly important	Neutral	Fairly unimportant	Very unimportant	Don't know	Not applicable
A. Being able to trade	1	2	3	4	5	6	7
B. Maintaining food safety	1	2	3	4	5	6	7
C. Maintaining food authenticity	1	2	3	4	5	6	7
D. Customer assurance	1	2	3	4	5	6	7
E. Ability to export	1	2	3	4	5	6	7

12. How well do you think current system of inspections supports you in the following areas:

	Very well	Fairly well	Neither	Not very well	Not at all well	Don't know
A. Maintaining food safety	1	2	3	4	5	6
B. Maintaining food authenticity	1	2	3	4	5	6
C. Your understanding of the Food Business	1	2	3	4	5	6
D. Equipping Officers to do their job	1	2	3	4	5	6

13. How important do you think accreditation by Third Party Accreditation Bodies is to local food business?

	Code
Very important	1
Fairly important	2
Neutral	3
Fairly unimportant	4
Very unimportant	5
Don't know	6
Not applicable	7

Pilot approach

14. To have a realistic benchmark, it is helpful to know if authorities have started making preparations for the pilot. Which, if any, of the following preparations, have you made for the FSMS pilot?

	Yes	No	Routing
A. Read the relevant documents	1	2	
B. Undertaken FSS training on Official Controls Verification	1	2	
C. Amended systems and protocols in line with the Pilot approach	1	2	

D. Started to implement elements of the Pilot approach	1	2	
E. Fully implemented the Pilot approach	1	2	Q10

Ask Q10 if coded 1 at Q9E

15. If fully implemented – for how long have you fully implemented the pilot approach?

	Code
Less than 6 months	1
6 months to a year	2
More than a year	3
Don't know	4

Classification questions

The final few questions are for classification purposes.

ASK ALL

16. What is your job title? [Open]

17. How long have you worked as a food officer?

	Code
Up to 2 years	1
2 – 5 years	2
6 – 10 years	3
11 – 15 years	4
16 – 20 years	5
More than 20 years	6

18. In total, how many years have you been working in the area of approvals and/or manufacturing?

	Code
Up to 2 years	1
2 – 5 years	2
6 – 10 years	3
11 – 15 years	4
16 – 20 years	5
More than 20 years	6

19. With regards to relevant training, which of the following have you completed?

	Code
Official Control Verification	1
HACCP Level 4	2
HACCP Level 3	3
Validation and Verification	4
Other (specify):	5
None	6

20. Which Competent Authority do you work for?

	Code
Aberdeen City Council	1
Aberdeenshire Council	2
Argyll & Bute Council	3
Dumfries and Galloway Council	4
East Lothian Council	5
Fife Council	6
Glasgow City Council	7
The Highland Council	8
Shetland Islands Council	9
Food Standards Scotland	10
Unsure	11

21. Is the authority primarily urban or rural?

	Code
Rural	1
Urban	2
Mixed	3

Thank and close

Food Standards Scotland

Pilot of an enhanced inspection system for Approvals and Manufacturing Benchmarking Survey: Food Business

12.03.2018

Introduction

Food Standards Scotland (FSS), working with Scottish Local Authorities has reviewed the approvals/manufacturing work associated with Food Law and has developed an enhanced system for inspections. The enhanced system is currently being piloted by FSS and nine Scottish Local Councils across approximately 50 Food Businesses, of which you are one.

Progressive, a research company, has been appointed by FSS to provide an independent evaluation of the pilot, by:

- evaluating the impact of the new enhanced system for official control interventions on food business operators, including time/resource/finance
- evaluating the impact of the new enhanced system for official control interventions on Local Authorities, including time and resources, and
- determining whether the approach is fit for purpose - considering issues such as documentation and training, etc.

To inform the study, we are collecting information about how inspections were carried out before the Pilot started. This will provide a baseline, for comparisons with the information collected during and after the Pilot. The survey will take about 10 minutes to complete.

Throughout this survey we are interested in your views based on inspections carried out on your manufacturing business, over the last two years.

Pre-inspection

1. Which of the following food safety documentation has the inspecting officer requested from you? [TICK ALL that apply]

Multi code	Code	Route
A detailed scale plan	1	Q2
The food safety management system	2	Q2
Equipment maintenance arrangements	3	Q2
Establishment, equipment and transport cleaning and disinfection arrangements	4	Q2
Waste collection and disposal arrangements	5	Q2
A description of the water supply	6	Q2
Water supply quality testing arrangements	7	Q2
Arrangements for product testing	8	Q2
Pest control arrangements	9	Q2
Arrangements for monitoring staff health	10	Q2
Arrangements for record keeping	11	Q2
Arrangements for applying the ID mark to product packaging or wrapping	12	Q2
Traceability arrangements for all ingredients, packaging and final products.	13	Q2
A description of the products to be produced	14	Q2
None of these documents	15	Q3

Ask Q2 if coded 1 – 14 at Q1

2. How easy was it for you/your staff to pull these documents together?

	Code
Very easy	1
Fairly easy	2
Neither	3
Not very easy	4
Not at all easy	5
Don't know	6

Inspection Stage

ASK ALL

3. During the Inspection, would the officer generally complete each of the following activities?

Route Q4 where coded 1 or 2

	Always	Usually	Sometimes	Occasionally	Never	Don't know
A. An opening meeting with you/ your representative	1	2	3	4	5	6
B. An on or offsite review of all the relevant documentation to assess its relevance and accuracy	1	2	3	4	5	6
C. An inspection of all relevant processes, practices and records to assess whether they meet food safety regulations	1	2	3	4	5	6
D. A closing meeting with you/your representative to feedback the inspection findings	1	2	3	4	5	6
E. Provide you/your business with a final report outlining the inspections outcomes and any actions required.	1	2	3	4	5	6

Ask Q4 if coded 1 or 2 at Q3

4. How beneficial did you consider each of these activities?

	Very beneficial	Fairly beneficial	Neither	Not very beneficial	Not at all beneficial	Don't know
A. An opening meeting with you/ your representative	1	2	3	4	5	6
B. An on or offsite review of all the relevant documentation to assess its relevance and accuracy	1	2	3	4	5	6
C. An inspection of all relevant processes, practices and records to assess whether they meet food safety regulations	1	2	3	4	5	6

D. A closing meeting with you/your representative to feedback the inspection findings	1	2	3	4	5	6
E. Provide you/your business with a final report outlining the inspections outcomes and any actions required.	1	2	3	4	5	6

ASK ALL

5. Approximately how long did you/your staff spend on the Inspection (from preparing documentation, through to the closing meeting) [HOURS]?

Number	
Length of time (hours)	

6. How would you assess the length of time spent on the inspection?

Code	
Absolutely appropriate	1
Reasonably appropriate	2
Neutral	3
Not very appropriate	4
Not at all appropriate	5
Don't know	6

7. How important are the local authority/Food Standard Scotland Food Law inspections to your business, in terms of the following?

	Very important	Fairly important	Neutral	Fairly unimportant	Very unimportant	Don't know	Not applicable
A. Being able to trade	1	2	3	4	5	6	7
B. Maintaining food safety	1	2	3	4	5	6	7
C. Maintaining food authenticity	1	2	3	4	5	6	7
D. Customer Assurance	1	2	3	4	5	6	7
E. Ability to Export	1	2	3	4	5	6	7

8. How well do you think current system of inspections currently support the following:

	Very well	Fairly well	Neither	Not very well	Not at all well	Don't know
A. The Inspector's understanding of your food business	1	2	3	4	5	6
B. The quality of advice you have received from the Inspector	1	2	3	4	5	6
C. Maintaining food safety	1	2	3	4	5	6
D. Maintaining food authenticity	1	2	3	4	5	6

9. How important to your business is accreditation by other Third Party Accreditation Bodies?

	Code
Very important	1
Fairly important	2
Neutral	3
Fairly unimportant	4
Very unimportant	5
Don't know	6
Not applicable	7

Classification questions

The final few questions are for classification purposes.

10. What is your job title?

	Code
Business owner /Joint owner or MD	1
Company Director / Partner	2
General Manager	3
Quality Manager	4
Production Manager	5
Other employee (specify)	6
Prefer not to say	7

11. How long has your company been in operation?

	Code
Up to 2 years	1
2 – 5 years	2
6 – 10 years	3
11 – 15 years	4
16 – 20 years	5
More than 20 years	6

12. Do you have a quality management team, with training in food science, responsible for food safety within your business?

	Code
Yes	1
No	2
Don't know	3

13. Which industry do you specialise in? [TICK ALL that apply]

Multi code	Code
Fish	1
Shellfish	2
Dairy	3
Meat and Poultry	4
Meat Products	5
Meat Preparations	6

Cold Storage	7
Other (Specify)	8

14. How many full time equivalent food handlers does your business have, including yourself?

	Code
1	1
2 to 5 employees	2
6 to 10 employees	3
11 to 25 employees	4
26 to 50 employees	5
51 to 100 employees	6
101 to 250 employees	7
251 to 500 employees	8
501 to 1000 employees	9
>1000 employees	10
Unsure	11

15. In order to help us understand the size and scale of your business, it would be helpful if you could tell us your approximate annual turnover for the latest financial year. **This information will be used for analysis only and will not be disclosed to Food Standards Scotland or any other party.**

	Code
Less than £70,000	1
£70,001-£100,000	2
£100,001 - £200,000	3
£200,001-£400,000	4
£400,001-£750,000	5
£750,001 - £1,000,000	6
£1,000,001-£2,000,000	7
Prefer not to say	6

16. Which authority carries out your inspection?

	Code
Aberdeen City Council	1
Aberdeenshire Council	2
Argyll & Bute Council	3
Dumfries & Galloway Council	4
East Lothian Council	5
Fife Council	6
Glasgow City Council	7
The Highland Council	8
Shetland Islands Council	9
Food Standards Scotland	10
Unsure	11

Thank and close



Food Standards Scotland

Approvals Pilot

Inspection Record Sheet (FINAL)

24.05.18

A core component of piloting the enhanced approach to official controls in approved and manufacturing establishments is to collect information from all the officers involved. We are therefore asking you to complete a short on-line log, which summarises your activities before, during and after the inspections.

We ask that you update the log as you complete each stage of the Inspection, including after **each** visit, so your memory is fresh.

For convenience, the log sheet is broken down into modules:

1. Food Business and Officer Information (for classification purposes)
2. Planning and document review
3. Official Control Visits*
4. Officer Reflection

If you have already started work on a 'Pilot Business', you should complete the modules for the inspection stages undertaken to date. This will ensure we have a complete set of records for all the Pilot Business.

To increase flexibility, the Record Sheet can be completed by any of the officers involved in the inspection at any time.

Please note, the Inspection Record Sheet study is being administered by Progressive Partnership, an independent research company. We work in accordance with the General Data Protection Regulation and the Market Research Society Code of Conduct. Please be assured that your confidentiality and anonymity is respected at all times.

Your personal details will never be passed to any other third parties. The Inspection Record Sheet study is completely confidential, in accordance with the Market Research Society Code of Conduct.

You are free to withdraw at any stage of the research.

*Official Control Visits – There are up to 6 record sheets in the OCV module to capture each of the inspection visits and the actions taken. These will allow you to record details of up to six separate official control visits. It has been assumed this will be sufficient. If you think the inspection will require more than 6 visits, please contact Valerie Strachan at Progressive (email: valerie.strachan@progressivepartnership.co.uk, tel: 0131 322 7080).

At any point in the log you can save your work by clicking on the 'SAVE' button below. Clicking to the next page does not save your work so please use the 'SAVE' button as you progress through the log and when you Exit.

Business and Officer Information

Name of Officer completing module:

Food Business information

1. Name of the Food Business
-

2. FBO Code/don't know

3. Approximately how many full time equivalent food handlers does the Food Business have?

	Code
1	1
2 to 5 employees	2
6 to 10 employees	3
11 to 25 employees	4
26 to 50 employees	5
51 to 100 employees	6
101 to 250 employees	7
251 to 500 employees	8
501 to 1000 employees	9
>1000 employees	10
Unsure	11

4. What type of Food Business are you inspecting? [Please select all that apply]

	Multi code
Fish	1
Shellfish	2
Dairy	3
Meat and poultry	4
Meat Products	5
Meat Preparations	6
Cold Storage	7
Generic	8
Other (Specify)	9

5. Is this a New Approval?

	Code
Yes	1
No	2

Officer information

6. Which Competent Authority is undertaking this Food Law inspection?

	Code
Aberdeen City Council	1
Aberdeenshire Council	2
Argyll & Bute Council	3
Dumfries & Galloway Council	4
East Lothian Council	5
Fife Council	6
Glasgow City Council	7
The Highland Council	8
Shetland Islands Council	9
Food Standards Scotland	10

Unsure	11
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7. Please provide the contact details for the Food Officer who will be leading this inspection.

A Primary Officer: Name	
B Primary Officer: Email address	
C Primary Officer: Phone number	

8. And please provide the contact details for the other Food Officers who will working on this inspection.

A Additional Officer 1: Name	
B Additional Officer 1: Email address	
D Additional Officer 1: Phone number	
E Additional Officer 2: Name	
F Additional Officer 2: Email address	
G Additional Officer 2: Phone number	
H Additional Officer 3: Name	
I Additional Officer 3: Email address	
J Additional Officer 3: Phone number	

You have now completed the **Business and Officer Information** section of the Record Sheet.

Planning and Document Review

Name of Officer completing module:

[Note – if you are not listed as an inspection officer in the Business and Officer Module, please update the module.]

9. Referring to the Resource Formula calculation (see p81 of the OCV document) how long do you estimate you will spend on each stage of the Inspection?
(Express as days (FTE) to 1 decimal place. If 0 days, please type in 0.)

	FTE (to 1 decimal place)
A Document Review time	
B Additional Document Review time	
C Onsite Official Control Verification time	
D Additional Onsite time	
E Factor for Absence of FSMS	
F Additional factor for number of employees	
G Total Inspection time	

10. Reflecting on your resource calculation, how realistic do you think it is?

	Code
Greatly under estimates the time required	1
Slightly under estimates the time required	2
About right	3
Slightly over estimates the time required	4
Greatly over estimates the time required	5
Don't know	6

11. During the planning stage did you use any of the following tools? [Please select all that apply]

	Multi code
A Concept maps	1
B PERT charts	2
C Gantt charts	3
D Research	4
E Random sampling	5
F Statistics software	6
H Literature Review	7
G Other specify:	8
H None	9

Document collection and review

12. Which, of the following documents, did you request from the Food Business before visiting the premises? [Please select all that apply]

	Multi code
A Detailed scale plan	1
B The food safety management system	2
C Equipment maintenance arrangements	3

D Establishment, equipment and transport cleaning and disinfection arrangements	4
E Waste collection and disposal arrangements	5
F A description of the water supply	6
G Water supply quality testing arrangements	7
H Arrangements for product testing	8
I Pest control arrangements	9
J Arrangements for monitoring staff health	10
K Arrangements for record keeping	11
L Arrangements for applying the ID mark to product packaging or wrapping	12
M Traceability arrangements for all ingredients, packaging and final products	13
N A description of the products to be produced	14
O Other (specify)	15
P None	16

13. When was the document request sent: [dd/mm/yyyy]

14. How many document request reminders have been sent to the Food Business?

	Code
None	1
1	2
2	3
3	4
4	5
5 or more	6
Don't know	7

15. Did the Food Business have any queries about the document request?

	Code	
Yes	1	Go to Q16
No	2	Go to Q17

ASK IF Q15=1: The business had queries about the document request:

16. What were they?

17. Did the Food Business provide all, some or none of the documents requested?

	Code	
All of the documents requested	1	Go to Q19
Some of the documents requested	2	Go to Q18
None of the documents requested	3	Go to Q19

ASK IF Q17=2 The business provided some of the documents requested:

18. Which documents were **not** provided? [Please select all that apply]

	Multi code
A Detailed scale plan	1
B The food safety management system	2
C Equipment maintenance arrangements	3
D Establishment, equipment and transport cleaning and disinfection arrangements	4
E Waste collection and disposal arrangements	5
F A description of the water supply	6
G Water supply quality testing arrangements	7
H Arrangements for product testing	8
I Pest control arrangements	9
J Arrangements for monitoring staff health	10
K Arrangements for record keeping	11
L Arrangements for applying the ID mark to product packaging or wrapping	12
M Traceability arrangements for all ingredients, packaging and final products	13
N A description of the products to be produced	14
O Other (specify)	15

ASK IF Q17=1,2 The business provided all/some of the documents requested:

18b. When did you receive the last of the requested documents from the Food Business?
[dd/mm/yyyy]

ASK ALL

19. What, if any, difficulties did you or the Food Business experience sending or receiving the necessary documents?

20. Did you identify any issues affecting the nature or scope of the Food Businesses approval during document review?

	Code	
Yes	1	Go to Q21
No	2	Go To Q22

ASK IF Q20=1 You identified issues affecting the nature or scope of the Food Businesses approval during the document review

21. Please provide a brief summary of these issues.

ASK IF Q17=1,2 You received all/some of the documents

22. Did the issues identified during the document review require you to take further action, beyond the anticipated planned visits?

Code	
Yes	1
No	2

ASK IF Q22=1: You identified issues requiring further action

23. Please describe the action required.

Officer time actually spent during planning and document review

ASK ALL

24. In total, how much officer time was actually spent on the following activities?
 [Express as days (FTE) to one decimal place. If 0 days, please type in 0.]

	FTE (to 1 decimal place)
A Document collection	
B Document review	
C Actions as a result of document review	
D Total time spent on document review related activity	

You have now completed the **Planning and Document Review** section of the Record Sheet.

Official Control Visits: Visit 1

25. **Name of Officer completing module:**

[Note – if you are not listed as an inspection officer in the Business and Officer Module, please update the module.]

26. Date of visit [dd/mm/yyyy]

27. Number of officers participating in this visit

28. **Total** time spent on this visit

[express as days (FTE), to 1 decimal place]

(– e.g. If 3 officers visited the site for 0.5 days each, the total time would be 1.5)

29. Was the visit announced or unannounced?

	Code
Announced	1
Unannounced	2

30. What were the objectives of this visit?

31. Were the objectives of the inspection achieved?

	Code
Yes	1
No	2

32. Which of the following tools did you use during this visit? [Please select all that apply]

	Multi code
A Form D: HACCP Verification and Reality Check	1
B Form E/ F: Physical and Prerequisites	2
C Walking the line	3
D Interviews with employees	4
E Review of live records	5
F Observations	6

G Tracking and tracing	7
H Mock product recall	8
I Mass Balance Approach	9
J Gap Analysis	10
K Other (specify)	11
L None	12

33. How would you modify or improve the tools you used on this visit?

34. What, if any, action was required as a result of the visit?

	Code
Formal action	1
Informal action	2
No action	3

ASK IF Q34=1,2 Actions were required as a result of the visit:

35. Briefly describe the actions required?

36. On a scale of 1 to 5, where 1 is a negative response, and 5 is a positive response: how did the Food Business respond to the enhanced approach used during this visit?

	Code
Positive	5
	4
	3
	2
Negative	1

37. Briefly describe any particular questions, issues, concerns raised by the Food Business during **this** visit.

38. As part of this official control activity, is another visit to this Food Business required?

	Code	Route
Yes	1	Complete another visit module
No	2	Proceed to Reflection module

You have now completed the **Official Control Visits** section of the Record Sheet.

Please move on to the **Officer Reflection** section below.

[Repeated in the system for OCV visits, 2, 3, 4, 5 and 6]

Officer Reflection

39. **Name of Officer completing module (ideally, this should be the officer who has had most involvement with the process)**

[Note – if you are not listed as an inspection officer in the Business and Officer Module, please update the module]

40. Considering the whole process, from document request to the final inspection, how easy or difficult was it to implement the enhanced approach for this Official Control?

	Code
Very easy	1
Fairly easy	2
Neutral	3
Fairly difficult	4
Very difficult	5

41. Looking forward, what support would officers require when implementing the enhanced approach?

42. What impact would you say the enhanced approach has had on the Food Business’s compliance?

	Code
Greatly improved compliance	1
Slightly improved compliance	2
No impact	3
Slightly reduced compliance	4
Greatly reduced compliance	5

43. Why do you say that?

44. On a scale of 1 to 5, where 1 is a negative response, and 5 is a positive response: how did the Food Business respond to the enhanced approach?

	Code
Positive	5
	4
	3
	2
Negative	1

45. Briefly describe any particular questions, issues, concerns raised by the Food Business about the enhanced approach.

46. Do you have any further comments on implementing the enhanced approach based on this Inspection?

You have now reached the end of this officer record sheet.
Please return the completed form to Valerie Strachan at Progressive Partnership, 3 Quality Street, Edinburgh,
EH4 5BP

Thank you!



Food Standards Scotland: Approvals Pilot Evaluation

Competent Authorities – Post Pilot Interview

Introduction

Explain terms of the interview:

- Progressive is a member of Market Research Society, and abides by its code of conduct; comments confidential, and none of your comments will be attributable to them + GDPR intro
- No right/wrong answers
- Will take about 30 minutes

The study

Food Standards Scotland (FSS) has been working with local authorities to revise the way Food Law Official Controls are delivered in approved and manufacturing premises in Scotland. FSS, together with nine local authorities, has been piloting a new approach to official controls across approximately 50 food business, over the course of the last 6 months.

Progressive, a research company, has been appointed by FSS to provide an independent evaluation of this pilot.

The evaluation has involved a number of elements, including a pre-pilot survey with Food Businesses and Food Officers, Inspection Records kept by the Food Officers, and Post-Inspection interviews with Food Businesses.

This is the final stage of the data collection: interviewing a representative in each of the Pilot Authorities. The purpose of the discussion is to explore your experience and assessment of the Pilot.

1: Clarification

Name.....

Role in team.....

Role in the Pilot

- Within the organisation.....
- Within the Steering Group (if any).....

It would be helpful if we could clarify a few details from the [LA/FSS] pilot? (And complete the table.)

- The number of businesses [AUTHORITY] included in the pilot in April 2018
- The number complete and partially complete by 5 October 2018
- The number withdrawn from the Pilot
- Reasons from non-completion
- Reasons for withdrawal

Business (Pre-complete)	Status at 5 Oct 2018 (Pre-complete)	Reason

2: Preparation

What changes if any did you have to make to accommodate the pilot? Could we talk about the changes you made to your organisation to accommodate the Pilot?

Could we talk in detail about staff: How many staff worked on the Pilot?

Did all the staff involved in approved and manufacturing businesses work on the Pilot? If not, how were the Pilot staff selected? [S - seniority / aptitude, pilot business case workers]

How were staff supported to undertake the Pilot? [S]

- Training – which courses, delivery mechanisms (trainer-delivered, on-line, on-the-job), accredited/non-accredited
- Changed working practices, e.g. paired working,
- Other...

What other changes did you make in preparation/as a result of the Pilot? SPONTANEOUS, then prompt

- New IT systems/protocols
- New procedure manuals/guidance
- Design new recording and reporting forms
- Other ...

Can you estimate the costs of preparing for the Pilot in terms of: PROBE for details

- Time
- Financial
- Other resources

3: Delivery

Could we talk about the delivery of the Pilot now – [AUTHORITY'S] experience of how the new approach to the Approvals process worked in practice?

Overall, how would say the new Approach compared with the previous approach in terms of the following? [PROBE for reasons]

The Officers ability to effectively plan the Inspection visits – [P]

- Producing a profile of the food business
- Pre-inspection documentation [difficulties encountered and solutions adopted]
- Undertaking food safety management system review prior to inspection
- Producing an inspection plan

The Officers understanding of the Businesses - processes, risks, and critical paths

- Reviewing documentation
- Inspecting processes and practices
- Identifying corrective actions
- End of visit/inspection meetings
- Provision of final report outlining inspection findings and actions needed

Access to a range of techniques to systematically assess the Businesses

- Review of documents provided/HACCP documentation review
- Walking the line

- Observation
- Live document review
- Staff interviews
- Traceability/mock product recalls
- Triangulation
- Validation/verification

Officer time spent

- Collecting and reviewing documentation
- Undertaking inspection visits

Demands placed on Food Businesses

- Capacity to produce the inspection documents before the inspection
- Time required to provide the documents
- Time to participate in the inspection visits

Can you estimate the additional costs associated of using the new Approach for your authority, compared with the previous approach in terms of: PROBE for details

- Time
- Financial
- Other resources

4: Lessons

What worked particularly well for you during Pilot?

- Did you learn any key lessons as the Pilot progressed?
 - streamlining processes and procedures, document requests, staff training, business support?
- Can you identify any examples of good practice to emerge?
 - documents: number requested, the format required for submission (e.g. summaries), limiting information requirements to updates/changes
 - Visits - number/type of visits required (e.g. no. of unannounced)
 - Communicating with businesses

What would you change if you were doing it again?

Did anything prevent you from implementing the pilot as planned? Did you encounter any barriers, did anything work less well from your perspective? SPONTANEOUS, then PROMPT

Were there any issues relating to the Pilot:

- Timing of Pilot
- Training: availability and timing
- Guidance documentation and forms – quality, relevance, volume, etc.

What about organisational issues such as:

- Budgets, reduced staffing levels, workloads, IT constraints (file sizes), etc.

Did the food businesses report any difficulties?

- Where there any issues with:
 - Capacity/level of resources required, timing constraints (clashes with other audits...), IT constraints, concerns re businesses that do not have established QA systems (smaller businesses/those not covered by 3rd party audits)

5: Implementation

Thinking now about the future. Could you talk to me about how you see the new approach being implemented across all your approved and manufacturing businesses.

What needs to be done to enable a full roll out of the new approach?

- How long will it take to fully implement timescales
- Resources – staffing, training, IT, other resources
- Review procedures
- Update documentation
- Support to local businesses
- Challenges and mitigations
- Unresolved barriers that need to be addressed

[If envisaging a partial roll-out – what form will this take, rationale for partial roll-out, will they be working towards a full-roll out...]

6: Sum-up

How well do you think the new approach supports you and your team in in the following areas?

- In terms of maintaining food safety?
If not very well – what, if anything, needs to be done to ensure a positive impact
- Maintaining food standards/authenticity?
If not very well – what, if anything, needs to be done to ensure a positive impact?
- Your understanding of food businesses?
If not very well – what, if anything, needs to be done to ensure a positive impact?
- Equipping officers to do their job?
If not very well – what, if anything, needs to be done to ensure a positive impact?

So overall

- Do the benefits/advantages of the new approach outweigh any additional costs? [Probe]
- Do you think the new approach can be successfully rolled out in across all approved and manufacturing businesses in your area? [Probe]

Final comments?

Thank, GDPR outro, and close

Food Standards Scotland: Approvals Pilot Evaluation

Food Business Operatives – Post Inspection Interview

Introduction

Explain terms of the interview:

- Reminder about why we are calling: undertaking an evaluation of the Approvals Pilot for Food Standards Scotland and [INSERT NAME] Council. The Approvals Pilot is designed to improve the systems, guidance, training and documentation they put in place around the Approvals process. Our research is an opportunity for you to feed into the evaluation, and to influence the new Inspection system.
- Progressive is a member of Market Research Society, and abides by its code of conduct; comments confidential, and none of your comments will be attributable to them [NB - both the local authority and FSS know the FBO is participating in the pilot, so it is important to stress this point] + GDPR intro
- No right/wrong answers
- Will take about 20 minutes

The study

Food Standards Scotland (FSS) has been working with local authorities to revise the way Food Law Official Controls are delivered in Scotland. The FSS, together with nine local authorities, has been piloting an enhanced approach to official controls across approximately 50 food business, over the course of this year.

Progressive, a research company, has been appointed by FSS to provide an independent evaluation of this pilot.

The evaluation has involved a number of elements, including a pre-pilot survey with Food Businesses and Food Officers, Inspection Records kept by the Food Officers, and Post-Inspection interviews with Food Businesses.

The purpose of this discussion is to ask you some questions about your most recent Food Law Inspection – that is, covering **all** the visits carried out [DATES] by the food/environmental health inspector from [INSERT NAME OF LA/ FSS]. [Remember – this may have involved a number of inspection visits...]

Your latest inspection will have been carried out by the Officer using the new enhanced approach to official controls that is currently being piloted across Scotland.

Clarification

Confirm that the FBO is absolutely clear which inspections the interview refers to!

- That the inspection was undertaken by the named local authority/FSS (i.e. they are not referring to an inspection by another body)
 - Your most recent Inspection by the local authority
 - That it is complete – it should be if the LA/FSS has passed on the contact to us
 - Have they have received a report/recommendations
- Confirm the respondent was aware of their involvement in the Pilot

Classification – brief description of the business and role

- Confirm the name of the food business do you work for?
- Describe the company’s food manufacturing activity?
- Size of business – number of employees?
- How long has your business been in operation?
- What is your role in the business?

Inspection process – experience and assessment

1: Before the Inspection

1. What information were you given about the new approach to Food Law Inspections, before the Pilot began?

SPONTANEOUS – then PROMPT for

- A letter
- Q&A/FAQ
- Checklist

How helpful was the information you were given in advance?

Information requests:

2. Were you asked for your businesses food safety management documents before the before the official control visit took place?

How easy was it to pull this information together?

PROMPT for issues/difficulties with...

- The type of information requested
- The volume of information requested,
- Costs involved in pulling it together (collecting samples, etc. staff time)
- Difficulties sending it to the Officer (formatting the information, file size, IT issues, etc)

How long did you have to pull this information together?

How did you feel about the timescales set?

3. What's your understanding of why you had to provide the information **before** the inspection?
4. Were you able to provide all the information requested? Were there requests you were unable to fulfil?
[PROBE for any documents/information they were unable to provide, requests they felt unreasonable and why]

2: Official control visits

Inspection Plan:

5. Did you meet with the Officer prior to the Inspections/at the start of the Inspections?

What was the purpose of that meeting – what issues did you cover? [PROBE – to outline objectives for the visits, review the information collected/collect additional information]

Did the officer outline the new approach and how it would differ from previous inspections?

Was this useful for the business?

6. Did you feel you had a good understanding about how the inspection would work before the visits? PROBE
 - Did you feel you understood how the inspection would work?
 - What else would you have liked to have covered at that stage?
 - Was there anything else the Officer could **reasonably** have done so that you were properly prepared for the Inspection? [Interviewer – NB not all visits are announced...]

The official control visits:

7. How many visits did you have from the food officer over the course of the Inspection?

Were they all announced – or were some unannounced?

Did you feel this was too little/too much/just enough?

8. During the Inspections do you recall what methods the officer used? PROBE to identify:

Key techniques they used and any they explained to the business owner (see list below)

Techniques the business owner felt they understood and/or worked well during the visits – and why

Those that they didn't understand/didn't work so well during the visits – and why

- Review the documentation provided
- Interviews with staff
- Walking the line
- Review of live records
- Observation
- Mock product recall
- HACCP documentation
- Triangulation – to assess compliance with the Food safety management system
- Validation/verification

Inspection Outcomes

9. Did you spend time with the Officer going through the outcomes of the inspection?

- When was this - immediately after each visit, at the end of the inspection during the last visit or at a later date (when)?
- Were you provided with a verbal or written report, either after each visit or after the inspection was finished?
- Was the inspection report helpful?
- What would be the best approach for your business?

Overall assessment

Finally, I'd like to discuss your views on the new approach to inspections.

10. **Inspector's understanding of the Food Business:** How well do you think the Inspector understood your food business?

- Detailed understanding of all aspects of the business?
- The relevant processes, of risks and critical paths?
- How did it compare to previous visits

[PROBE for gaps in knowledge, areas where the inspector's knowledge was beneficial.]

11. **Information and advice:** Did you receive advice and support from the Inspector before, during and after the Inspection?

- How would you assess the quality of this?
- How would you assess its usefulness?
- Any gaps in the information and support provided?
- How did it compare to previous visits?

12. **Time:** Overall how much time did your business need to spend on the Inspection – I’m thinking in total across the visit/visits and for you and any of your staff that were involved –

PROBE Accompanying inspectors around the plant, providing live records, samples, recalls, etc...

- Is this more or less than in previous inspections?
- Would you regard the amount of time you needed to spend on the Inspection as reasonable? [PROBE for why they think this]
- Did you see this as a benefit/disadvantage to your business?

13. **Costs:** Did you incur any costs (apart from staff) as a result of the inspection?

- Was this more or less than in previous inspections?
- Do you think this was reasonable?
- Did the incurred cost benefit your businesses in the long term?

Impact of the process

I have a few topics here, and I’d be interested in your views on each, particularly how confident you were with each, and also if you think there have been any differences using the Enhanced Approach, compared with previous inspections.

14. **Maintaining food safety:** Has the new approach increased or decreased your confidence in maintaining food safety? [PROBE for reasons]

15. **Maintaining food authenticity:** Has the new approach increased or decreased your confidence in maintaining food authenticity and standards? [PROBE for reasons]

16. **Food safety management Systems:** Has the new approach impacted on Business’ Food Safety Management systems? [PROBE for reasons]

- Did it identify problems that you had not previously considered?
- Did you get the support from your Inspector to resolve these issues?

17. **Assurance/Customer Assurance:** Are you using this new approach for customer assurance or as part of third party assurance schemes? [PROBE for details]

18. **Changes to business practices:** Have you changed your business practices as a result of the new Inspections approach?

- Or taken any actions to ensure compliance at futures inspections?



PROBE for details: e.g. Undertaking training, research/reading, accessed specialist advice

19. Overall, How would you rate the new approach to inspections?

[PROBE FOR: Concerns, Aspects that worked well, Aspects that work less well and Any specific benefits to the business from the activity

Final comments?

Thank, GDPR outro, and close