

AUDIT  
REPORT

Audit on the follow-up and  
close-out of non-compliances  
with food law – Sea Fisheries  
Protection Authority

**CORRECTIVE ACTION PLAN**

AUGUST 2016 (UPDATE JULY 2018)

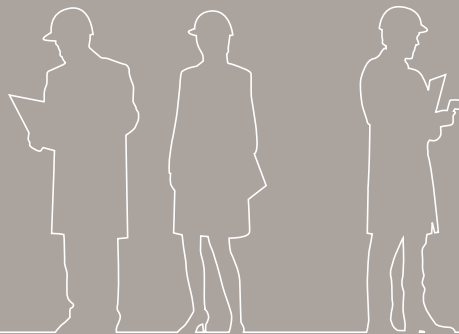


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## **CORRECTIVE ACTION PLAN**

This corrective action plan describes audit findings requiring corrective action, documents responsibility for addressing the findings and describes progress on the close-out of actions.

**Audit:** Audit on the follow-up and close-out of non-compliances with food law

**Official Agency:** Sea Fisheries Protection Authority

**Date of Audit:** December 2015 to February 2016

**Audit on the follow-up and close-out of non-compliances with food law – Sea Fisheries Protection Authority**

AUGUST 2016 (UPDATE JULY 2018)

	To be completed by FSAI		To be completed by Agency		To be completed by Agency & FSAI through Service Contract Liaison process		
	Report Ref.	Finding Requiring Corrective Action	Proposed Corrective Action	Proposed Completion Date	Update	Status	
						Open	Closed (include date closed out)
1	4.1.3	<p>Risk assessments had not been carried out on an annual basis for each of the establishment files examined during the audit.</p> <p>Only 40% of files assessed during the audit had their risk assessments reviewed annually in both 2014 and 2015.</p>	<p>Communication will be sent to ports regarding the requirement to carry out an annual risk assessment.</p> <p>The requirement will also be re-highlighted in the 2017 Official Control Plan.</p> <p>Follow up will be done within each port to ensure annual risk assessments are being carried out within each port.</p>				Closed 3/10/17

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2	4.1.2	<p>Not all establishments met their assigned minimum inspection frequency designated in accordance with their risk categorisation.</p> <p>Of the 33 establishment files examined during the audit, only 42% met the minimum inspection frequency in 2014; and 58% met the minimum inspection frequency in 2015.</p>	<p>The Food Safety Unit (FSU) is liaising with the data team in FSAI. Dashboard reports generated from OAPI by FSAI will be circulated at an agreed frequency. Such reports will show inspections versus targets by risk category and also Inspection Key Performance Indicators (KPIs). Such dashboard reports will help with official control planning and review of inspection targets at an agreed frequency. Refer to Report reference 4.1.8 also for more detail.</p>	Q1 of 2019			

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3	4.1.6	The recording of health cert related information on OAPI is not consistent across the port offices, and in some cases could lead to an over-reporting of official control inspections.	<p>To ensure consistency of recording of information in OAPI, communication has been sent (5/07/16) to ports regarding the recording of Health Certificates and official controls associated with health certificates.</p> <p>The OAPI manual is being revised/updated, the recording of information will also be covered in the updated OAPI manual to help ensure consistency of recording.</p>				Closed 3/10/17

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4	4.1.6	The recording of official control checks solely associated with health certs as a sub-type of inspections requires that an inspection outcome is assigned. This may significantly inflate the overall number of official controls classified as satisfactory.	Refer to proposed corrective action for finding 4.1.6.  There is ongoing liaison between the FSU with data team FSAI to improve OAPI outputs. A recent teleconference was held (07/04/2016) between members of the FSU and FSAI data team. Agreed outputs and deliverables discussed are currently being followed up by FSU and FSAI data.				Closed 3/10/17

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5	4.1.6	It was not possible, at the time of the audit, to use the system as a management tool at either central or port office level. Staff are not sufficiently trained to ensure correct and consistent recording of information.	<p>Since the audit there has been ongoing data quality checks by FSU on OAPI data. There has communication between the FSU and ports with respect to target inspections and risk categories for all approved establishments.</p> <p>The OAPI Manual is being revised/updated. In conjunction with this, it will be determined what type of training needs to be delivered.</p> <p>Communication has been sent to ports regarding recording of information (health certificates and official controls associated with health certs). See report reference 4.1.6</p>				Closed 3/10/17



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6	4.1.8	Systems to monitor progress regarding official controls and highlight any establishments falling behind the designated minimum inspection frequency were in place in each of the port offices, but were not effective.	<p>The FSU is working with FSAI data to progress the development of SFPA dashboards linked to OAPI.</p> <p>The FSAI data team has recently generated draft dashboards which details SFPA inspections carried out versus target by risk category. These are currently under review by the FSU; it is planned that the dashboards will also highlight non inspected establishments. The dashboards will be circulated to Senior Port Officers (SPOs) for port input. When finalised, the dashboards will be circulated at an agreed frequency to ports. It is hoped that this will help with the planning, co-</p>				Closed 3/10/17

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			ordination and monitoring of OCs carried out against targets.				
7	4.2	The non-compliances identified as part of the on-site verification activity in the six food businesses should be closed out by the inspectorate in conjunction with the food business operators.	Action has been taken by the SFPFA to verify that Corrective Action has been carried out by the relevant FBO. The FSU will follow up with the ports involved in this audit to document close out of the Corrective Action.				Closed 12/02/18





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