

*Draft Regulations laid before Senedd Cymru under section 62(3) of the Regulatory Enforcement and Sanctions Act 2008, for approval by resolution of Senedd Cymru.*

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[ D R A F T ] W E L S H S T A T U T O R Y  
I N S T R U M E N T S

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**202X No. (W.)**

**FOOD, WALES**

**PUBLIC HEALTH, WALES**

**The Food (Promotion and  
Placement) (Wales) Regulations  
202X**

**EXPLANATORY NOTE**

*(This note is not part of the Regulations)*

These Regulations are made by the Welsh Ministers in exercise of their powers under the Food Safety Act 1990 (c. 16) and the Regulatory Enforcement and Sanctions Act 2008 (c. 13). They provide for restrictions on the marketing in store or on an online marketplace of certain foods and drinks that are less healthy.

Regulation 3 and Schedule 1 define the food and drink to which the Regulations apply. Regulation 4 defines the businesses (“qualifying business”) to which the Regulations apply.

Regulation 5 prohibits a qualifying business from offering certain price promotions on food and drink to which the Regulations apply, both in store and on an online marketplace.

Regulation 6 prohibits a qualifying business from offering free refill promotions on drinks that are within the scope of that regulation.

Regulation 7 prohibits a qualifying business from placing food and drink to which the Regulations apply in certain locations in a store.

Regulation 8 prohibits the placement of food and drink in certain parts of the online marketplace on which the food and drink is offered for sale.

Regulation 9 requires each food authority to enforce and execute these Regulations within its area.

Regulation 10 enables a food authority to serve an improvement notice on a person where it has reasonable grounds for believing that the person has failed to comply with one or more of regulations 5, 6, 7 or 8.

Regulation 11 creates an offence where a person fails to comply with an improvement notice, and regulation 12, together with Schedule 2, deals with sanctions for that offence. This includes provision enabling criminal prosecution, which may result in an unlimited fine per offence, and provision enabling a food authority to impose a fixed monetary penalty of £2,500. Schedule 2 makes provision precluding a criminal sanction for an offence under regulation 11, where a fixed monetary penalty is imposed.

Regulations 13 and 14 require a food authority to publish, respectively, guidance about its use of the power to impose fixed monetary penalties, and reports about the enforcement action that it has taken under these Regulations.

Regulation 15 requires the Welsh Ministers to carry out a review of the impact of the regulatory provisions of these Regulations and to publish a report setting out the conclusions of the review.

Regulation 16 applies, with modifications, various sections of the Food Safety Act 1990 for the purposes of these Regulations.

The Welsh Ministers' Code of Practice on the carrying out of Regulatory Impact Assessments was considered in relation to these Regulations. As a result, a regulatory impact assessment has been prepared as to the likely costs and benefits of complying with these Regulations. A copy can be obtained from from Welsh Government, Cathays Park, Cardiff, CF10 3NQ and is published on [www.gov.wales](http://www.gov.wales).

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**202X No. (W.)**

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**PUBLIC HEALTH, WALES**

**The Food (Promotion and  
Placement) (Wales) Regulations  
202X**

*Made* \*\*\*  
*Coming into force* \*\*\*

The Welsh Ministers make the following Regulations in exercise of the powers conferred by—

- (a) sections 6(4)(a), 16(1)(e) and (f), 26(3) and 48(1) of the Food Safety Act 1990(1) (“the 1990 Act”) and now vested in them(2);
- (b) sections 36(2), 39, 52(1) and (2)(b), 54, 55, 62(2), 63 and 65 of, and Schedule 7 to, the Regulatory Enforcement and Sanctions Act 2008(3) (“the 2008 Act”).

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- (1) 1990 c. 16. Section 6(4) was amended by paragraph 6 of Schedule 9 to the Deregulation and Contracting Out Act 1994 (c. 40); paragraph 10(3)(a) and (b) of Schedule 5 to the Food Standards Act 1999 (c. 28); and Schedule 2 to S.I. 2002/794. Sections 16(1) and 48(1) and (4) were amended by paragraph 8 of Schedule 5 to the Food Standards Act 1999 (c. 28). Section 26(3) was amended by Schedule 6 to the Food Standards Act 1999 (c. 28). Section 48(4) was further amended by S.I. 2004/2990. There are other amendments to sections 6, 16 and 48 not relevant to this instrument.
  - (2) Those functions, formerly exercisable by “the Ministers”, were conferred on the Secretary of State pursuant to paragraph 8 of Schedule 5 to the Food Standards Act 1999 (c. 28). Those functions, so far as exercisable in relation to Wales, were transferred to the National Assembly for Wales by S.I. 1999/672 as read with section 40(3) of the Food Standards Act 1999 (c. 28). Those functions are now exercisable by the Welsh Ministers by virtue of section 162 of, and paragraph 30 of Schedule 11 to, the Government of Wales Act 2006 (c. 32).
  - (3) 2008 c. 13. Section 39(4) was amended by S.I. 2015/664. Section 36 was amended by Part 3 of the Enterprise Act 2016

The Welsh Ministers have had regard to relevant advice given by the Food Standards Agency in accordance with section 48(4A) of the 1990 Act<sup>(1)</sup>.

There has been consultation as required by Article 9 of Regulation (EC) No 178/2002 of the European Parliament and of the Council laying down the general principles and requirements of food law, establishing the European Food Safety Authority and laying down procedures in matters of food safety<sup>(2)</sup>.

The Welsh Ministers have consulted in accordance with sections 59(3) and 60(1) of the 2008 Act.

The Welsh Ministers are satisfied in accordance with section 66 of the 2008 Act that food authorities<sup>(3)</sup> (who are regulators for the purpose of these Regulations) will act in accordance with the principles referred to in section 5(2) of that Act in exercising a power conferred by these Regulations.

A draft of these Regulations was laid before Senedd Cymru in accordance with section 62(3) of the 2008 Act, and approved by resolution of Senedd Cymru.

### **Title, extent, application and coming into force**

**1.**—(1) The title of these Regulations is the Food (Promotion and Placement) (Wales) Regulations 202X.

(2) These Regulations—

- (a) extend to England and Wales, and
- (b) apply in relation to Wales, but not in relation to the territorial waters adjacent to Wales.

(3) These Regulations come into force on \*\*\*.

### **Interpretation**

**2.**—(1) In these Regulations—

“consumer” (“*defnyddiwr*”) has the meaning given in section 2(3) of the Consumer Rights Act 2015<sup>(4)</sup>;

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(c. 12). “Prescribed” is defined in section 71(1) of the Regulatory Enforcement and Sanctions Act 2008 (c. 13).

(1) Section 48(4A) of the Food Safety Act 1990 (c. 16) was inserted by paragraph 21 of Schedule 5 to the Food Standards Act 1999 (c. 28).

(2) EUR 2002/178, to which there are amendments not relevant to these Regulations.

(3) “Food authorities” in Wales are defined in section 5(1A) of the Food Safety Act 1990 (c. 16). This section was inserted by paragraph 16(1) of Schedule 9 to the Local Government (Wales) Act 1994 (c. 19).

(4) 2015 c. 15. Section 2(3) defines “consumer” as an individual acting for purposes that are wholly or mainly outside that individual’s trade, business, craft or profession.

“online marketplace” (“*marchnadle ar-lein*”) means any software (including a website, part of a website, or an application) that is used to offer the qualifying business’s products for sale to consumers;

“prepacked food item” (“*eitem fwyd wedi ei rhagbecynnu*”) means an item referred to in Article 2(2)(e) of Regulation (EU) No 1169/2011 of the European Parliament and of the Council on the provision of food information to consumers(1);

“qualifying business” (“*busnes cymhwysol*”) has the meaning given in regulation 4;

“qualifying person” (“*person cymhwysol*”) means a person acting in the course of carrying on a qualifying business;

“relevant special offer” (“*cynnig arbennig perthnasol*”) means an offer of a discounted price for multiple items promoted as intended to be consumed together as, or as part of, a single meal by one person or by two or more people together (such as “meal deal” or “dine in for two” offers);

“Schedule 1 food” (“*bwyd Atodlen 1*”) means food(2) falling within a category specified in Schedule 1;

“specified food” (“*bwyd penodedig*”) has the meaning given in regulation 3;

“the Nutrient Profiling Technical Guidance” (“*y Canllawiau Technegol ar gyfer Proffilio Maethynnau*”) means the guidelines published by the Secretary of State on 14 January 2011 about the application of the 2004-2005 Nutrient Profiling Model(3).

(2) For the purposes of these Regulations, a qualifying person offers a qualifying business’s products for sale on an online marketplace if they determine (whether on behalf of the qualifying business or on behalf of another business) that the product is to be offered for sale and its price, irrespective of who undertakes on behalf of the qualifying business—

- (a) to obtain payment from the purchaser, or
- (b) to otherwise operate the online marketplace.

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(1) EUR 2011/1169, to which there are amendments not relevant to these Regulations.

(2) The definition of “food” in section 1(1) of the Food Safety Act 1990 (c. 16) refers to Regulation (EC) No 178/2002 of the European Parliament and of the Council laying down the general principles and requirements of food law, establishing the European Food Safety Authority and laying down procedures in matters of food safety (“Regulation (EC) No 178/2002”). Article 2 of Regulation (EC) No 178/2002 defines “food” for the purposes of that Regulation.

(3) An electronic copy can be found at <https://www.gov.uk/government/publications/the-nutrient-profiling-model>. Hard copies can be obtained by request to Population Health, Health and Social Services Group, Welsh Government, Cathays Park, Cardiff, CF10 3NQ.

### **Specified food**

**3.—**(1) For the purposes of these Regulations, “specified food” is food contained in a prepacked food item which—

- (a) is Schedule 1 food,
- (b) is less healthy (as defined in paragraph (4)), and
- (c) is not food to which paragraph (5) (charity food sales) applies.

(2) Where a prepacked food item contains more than one type of food, all of the food contained in the item is to be treated for the purposes of paragraph (1)(a) as Schedule 1 food where one (or more) of the types of food contained in the item would, on its own, be Schedule 1 food.

(3) Where a product contains multiple items, of which one (or more) is a prepacked food item containing specified food, the entire product is to be treated as specified food.

(4) For the purposes of this regulation—

- (a) food that is not a drink is less healthy if it scores 4 or more points in accordance with the Nutrient Profiling Technical Guidance;
- (b) a drink is less healthy if it scores 1 or more points in accordance with the Nutrient Profiling Technical Guidance.

(5) This paragraph applies to food which is—

- (a) provided by a charity, in the course of its charitable activities, free or for a price which is less than the cost of providing that food, or
- (b) offered for sale by or on behalf of a charity to raise funds for its charitable activities at a single event.

(6) For the purposes of paragraph (5)—

- (a) “charity” has the meaning given by section 1 of the Charities Act 2011<sup>(1)</sup>;
- (b) “charitable activity” means an activity carried out for a charitable purpose, other than primarily for the purpose of raising funds;
- (c) “charitable purpose” has the meaning given by section 2(1) of the Charities Act 2011.

### **Qualifying businesses**

**4.—**(1) For the purposes of regulations 5 (price promotion restriction), 7 (placement restriction) and 8 (online promotion restriction) a business is a “qualifying business” if—

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(1) 2011 c. 25.

- (a) a person offers, in the course of carrying on the business, any prepacked food item for sale (whether in store or on an online marketplace) to consumers,
- (b) on the first day of the financial year during which any such sale took place, the business had 50 or more employees, and
- (c) the business is not—
  - (i) a care home;
  - (ii) an educational institution;
  - (iii) a restaurant.

(2) For the purposes of regulation 6 (drink refill promotion restriction) a business is a “qualifying business” if—

- (a) a person offers, in the course of carrying on the business, any drink to which regulation 6 applies for sale (in store) to consumers,
- (b) on the first day of the financial year during which any such sale took place, the business had 50 or more employees, and
- (c) the business is not—
  - (i) a care home;
  - (ii) an educational institution.

(3) For the purposes of determining how many employees a business has, a business that is carried on pursuant to a franchise agreement is to be treated as part of the business of the franchisor and not as a separate business carried on by the franchisee.

(4) For the purpose of paragraph (3), a “franchise agreement” exists where one undertaking (“the franchisee”) and another undertaking (“the franchisor”) agree that the franchisee carries on a business activity which includes the sale or distribution of food (“the franchise business”), and paragraph (5) applies to the franchise business.

(5) This paragraph applies if—

- (a) the food provided in the franchise business,
- (b) the internal or external appearance of the premises where the franchise business is carried on, and
- (c) the business model used for the operation of the franchise business,

is agreed by the franchisor, and is similar to that of other undertakings in respect of which the franchisor has entered into comparable contractual arrangements.

(6) For the purposes of this regulation—

- (a) the employees of a business are the persons who are employed for the purposes of the business;

- (b) “care home” means a place in Wales at which a care home service, within the meaning of Part 1 of the Regulation and Inspection of Social Care (Wales) Act 2016(1), is provided wholly or mainly to persons aged 18 or over and which only provides food to residents of that care home and charges for that service as part of the cost of the accommodation;
- (c) “contract of employment” means a contract of service, whether express or implied, and (if it is express) whether oral or in writing;
- (d) “educational institution” means an institution providing education only to pupils below the age of 18;
- (e) “employee” means an individual who has entered into, or works under, a contract of employment, whether that contract is for full-time or part-time employment;
- (f) “restaurant” means a business whose premises are used mainly for the preparation or sale of food intended for immediate consumption, whether on or off the premises (including a café, coffee shop, fast food or takeaway business).

#### **Restriction on the price promotion of specified food**

5.—(1) Subject to paragraph (5), a qualifying person must not offer specified food for sale as part of a volume price promotion (whether in store or on an online marketplace).

(2) “Volume price promotion” means—

- (a) a multibuy promotion, being the express offer of a financial incentive for buying multiple items compared with buying each item separately (including “3 for the price of 2”, “3 for £10”, or “buy 6 and save 25%”);
- (b) a promotion that indicates that an item, or any part of an item, is free (including “50% extra free”, or “buy one get one free”).

(3) For the purposes of paragraph (2)(a), a multibuy promotion does not include a relevant special offer.

(4) This regulation applies to promotions that are included on the packaging of food as well as to promotions that are communicated to a consumer via other means.

(5) Where the packaging of specified food includes a volume price promotion, a qualifying person may offer the specified food for sale until the end of the period of 12 months beginning on the day these Regulations come into force.

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(1) 2016 anaw 2.



### **Restriction on the price promotion of certain drinks**

6.—(1) This regulation applies to a drink which is not a prepacked food item and which—

- (a) falls within category 1 of Schedule 1,
- (b) is less healthy by virtue of scoring 1 or more points in accordance with the Nutrient Profiling Technical Guidance, and
- (c) is not food to which regulation 3(5) (charity food sales) applies.

(2) A qualifying person must not offer a free refill promotion on a drink to which this regulation applies.

(3) In paragraph (2), “free refill promotion” means a promotion that offers the consumer the same drink or another drink to which this regulation applies (including free top-ups of any part of such a drink), for free after consumption of a first drink.

### **Restriction on the placement of specified food – in store**

7.—(1) Subject to paragraph (3), a qualifying person must not place specified food inside a store—

- (a) within two metres of a checkout facility, unless the specified food is placed in (but not at the end of) an aisle;
- (b) within two meters of a designated queuing area, unless the specified food is placed in (but not at the end of) an aisle;
- (c) in a display—
  - (i) at the end of (but not in) an aisle, or
  - (ii) on a separate structure (such as an island bin, free-standing unit, side stack or clip strip) connected or adjacent to, or within 50 centimetres of, such an aisle end;
- (d) at any point within the prohibited distance of the midpoint of any public entrance to the store’s main shopping area;
- (e) in a covered external area.

(2) This regulation does not apply to—

- (a) stores with a relevant floor area of less than 185.8 square metres;
- (b) stores which only or mainly sell food from a single category listed in Schedule 1.

(3) In this regulation—

- (a) “checkout facility” means a facility intended to be used by consumers to make a purchase, including a self-checkout terminal and a counter at which a cash register is used (including the area behind such a counter);
- (b) “covered external area” means a covered area, outside and connected to a store’s main

shopping area, through which the public passes to enter the main shopping area (such as a foyer, lobby or vestibule);

- (c) “designated queuing area” means an area set aside and marked for the purpose of providing a place for consumers to wait to make a purchase;
- (d) “prohibited distance” means the smaller of 15 metres or the following—

$$\sqrt{0.03 \times a}$$

where a is the store’s relevant floor area;

- (e) “relevant floor area” means the internal floor area of so much of a store as consists of or is comprised in a building, excluding any part of the store which—
  - (i) is not used for displaying goods or for serving customers in connection with the sale of goods,
  - (ii) is used mainly for the preparation or sale of food intended for immediate consumption, whether on or off the premises (including a coffee shop or a canteen),
  - (iii) is a room used for consultation with customers in connection with any medical services (such as pharmacy or opticians’ services) offered in the store, or
  - (iv) is occupied by a business other than the business primarily responsible for managing and operating the store (“a concession”), but only where the concession operates its own payment facilities.

#### **Restriction on the promotion of specified food – online**

**8.—**(1) Subject to paragraphs (2) and (3), a qualifying person must not cause specified food to be offered for sale on an online marketplace—

- (a) on a home page (whether or not the consumer enters the online marketplace via the home page);
- (b) while a consumer is searching for or browsing products other than Schedule 1 food, unless paragraph (4) or (5) applies;
- (c) while a consumer is searching for or browsing Schedule 1 food, unless—
  - (i) the specified food falls within the same Schedule 1 category, or
  - (ii) paragraph (4) or (5) applies;

- (d) on a page not opened intentionally by the consumer (such as a “pop-up” page or a “brand burst”);
- (e) on a favourite products page, unless the consumer has previously purchased the specified food (whether in store or online) or intentionally identified it as a favourite product, but specified food must not in any event be given greater prominence than other products on a favourite products page;
- (f) on a checkout page.

(2) Paragraph (1) does not prohibit offering specified food for sale on a page opened intentionally by a consumer for the purpose of browsing special offers generally.

(3) This regulation does not apply in respect of a qualifying business which only or mainly sells food from a single category listed in Schedule 1.

(4) This paragraph applies where—

- (a) a consumer is searching for or browsing food (whether or not specified food), and
- (b) the qualifying person causes specified food to be offered for sale together with the food referred to in sub-paragraph (a) as part of a relevant special offer.

(5) This paragraph applies—

- (a) where a consumer browses or searches for a general category of product which includes the specified food (such as categories relating to seasonality, or to nutritional or dietary characteristics);
- (b) in relation to searching, where a search term entered by the consumer matches in whole or in part—
  - (i) the name under which the specified food is marketed, or
  - (ii) an ingredient listed on the packaging of the specified food.

(6) For the purposes of this regulation—

- (a) “checkout page” means a page shown to a consumer as part of the checkout process, such as a page listing items the consumer has so far selected for purchase or a page dealing with payment, collection or delivery;
- (b) “favourite products page” means a page opened by a consumer for the purpose of browsing products they have previously purchased or intentionally identified as favourite products;
- (c) “home page” means any of—
  - (i) an online marketplace’s highest level public page;

- (ii) the highest level public page of an online marketplace's grocery section.

### **Enforcement**

**9.** Each food authority must enforce and execute these Regulations within its area.

### **Improvement notice**

**10.** If a food authority has reasonable grounds for believing that a person is failing to comply with one or more of regulations 5 to 8, it may, by a notice served on that person (in these Regulations referred to as an "improvement notice")—

- (a) state the authority's grounds for believing that the person is failing to comply with regulation 5, 6, 7 or 8,
- (b) specify the matters which constitute the person's failure so to comply,
- (c) specify the measures which, in the authority's opinion, the person must take in order to secure compliance, and
- (d) require the person to take those measures, or measures that are at least equivalent to them, within such period as may be specified in the notice.

### **Offences**

**11.** A person commits an offence if they fail to comply with an improvement notice served under regulation 10.

### **Sanctions**

**12.—(1)** A person guilty of an offence under regulation 11 is liable on summary conviction to a fine.

(2) Schedule 2 (fixed monetary penalties) makes provision for imposing a fixed monetary penalty on a person ("fixed monetary penalty") as a civil sanction alternative in relation to an offence under regulation 11.

(3) See also paragraph 12 of Schedule 2 for provision as to liability to criminal prosecution where a civil sanction is imposed.

### **Guidance as to use of fixed monetary penalties**

**13.—(1)** Each food authority must publish guidance about its use of the power in paragraph 1 of Schedule 2 (power to impose fixed monetary penalties).

(2) The guidance must contain information including (whether or not among other things)—

- (a) the circumstances in which a fixed monetary penalty is likely to be imposed under these Regulations,
  - (b) the circumstances in which it may not be imposed,
  - (c) the amount of the penalty,
  - (d) how liability for the penalty may be discharged and the effect of discharge, and
  - (e) a person's rights to make representations and objections and their rights of appeal.
- (3) The food authority must revise the guidance where it considers appropriate.
- (4) The food authority must consult with such organisations as appear to it to be representative of interests likely to be substantially affected by the guidance before publishing any guidance or revised guidance.
- (5) The food authority must have regard to the guidance or revised guidance in exercising its functions under these Regulations.

#### **Publication of enforcement action**

**14.**—(1) Each food authority must from time to time publish a report about the enforcement action it has taken under these Regulations.

(2) The report referred to in paragraph (1) must specify—

- (a) the cases in which a fixed monetary penalty has been imposed, except in cases where at the time the report is published—
  - (i) a period of 28 days beginning with the day the fixed monetary penalty was imposed has not yet elapsed,
  - (ii) an appeal brought in accordance with paragraphs 8 and 9 of Schedule 2 is pending in relation to the fixed monetary penalty, or
  - (iii) the fixed monetary penalty has been withdrawn;
- (b) the cases in which liability to the fixed monetary penalty has been discharged pursuant to paragraph 3 of Schedule 2.

(3) Nothing in this regulation authorises the processing of personal data where doing so would contravene the data protection legislation, and for these purposes “personal data” and “the data protection legislation” have the same meanings as in section 3 of the Data Protection Act 2018<sup>(1)</sup>.

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(1) 2018 c. 12; section 3 was amended by S.I. 2019/419.

## **Review**

**15.**—(1) In addition to the review carried out under section 67 (review) of the Regulatory Sanctions and Enforcement Act 2008, the Welsh Ministers must from time to time carry out a review of the regulatory provisions of these Regulations and publish a report setting out the conclusions of the review.

(2) The first report must be published before the expiry of the period of five years beginning on the date on which these Regulations come into force.

(3) Subsequent reports must be published at intervals not exceeding five years.

(4) A report published under this regulation must, in particular—

- (a) set out the objectives intended to be achieved by the regulatory provisions of these Regulations,
- (b) assess the extent to which those objectives are achieved,
- (c) assess the extent to which those objectives remain appropriate, and
- (d) if those objectives remain appropriate, assess the extent to which they could be achieved in another way which involves less onerous regulatory provision.

(5) In this regulation, “regulatory provision” means—

- (a) provision imposing requirements, restrictions or conditions, or setting standards, in relation to any activity carried on by a qualifying business, or
- (b) provision which relates to the securing of compliance with, or the enforcement of, requirements, restrictions, conditions or standards which relate to the activity.

## **Application of various sections of the Food Safety Act 1990**

**16.**—(1) The provisions of the Food Safety Act 1990 set out in paragraph (2) apply for the purposes of these Regulations—

- (a) as if any reference in those provisions to the Act, or to any Part of the Act, were a reference to these Regulations;
- (b) with any modifications specified in paragraph (2).

(2) The provisions of the Act applying, as modified, are—

- (a) section 3 (presumptions that food intended for human consumption),

- (b) section 20 (offences due to fault of another person),
- (c) section 21 (defence of due diligence), as if—
  - (i) subsections (2) to (4) applied in relation to an offence under these Regulations as they apply in relation to an offence under section 15 (falsely describing or presenting food), and
  - (ii) in subsection (4)(b), the reference to “sale or intended sale” included “promotion or presentation”,
- (d) section 30(8) (which relates to documentary evidence),
- (e) section 32 (powers of entry),
- (f) section 33(1) (obstruction etc. of officers),
- (g) section 33(2), as if the reference to “any such requirement as is mentioned in subsection (1)(b) above” were a reference to any such requirement as is mentioned in that subsection as applied by sub-paragraph (f),
- (h) section 34 (time limits for prosecutions), as if for “section 35(2) below” there were substituted “regulation 12(1)”,
- (i) section 35(1) (punishment of offences), in so far as it relates to offences under section 33(1) as applied by sub-paragraph (f),
- (j) section 35(2), in so far as it relates to offences under section 33(2) as applied by sub-paragraph (g),
- (k) section 36 (offences by bodies corporate),
- (l) section 36A (offences by Scottish partnerships),
- (m) section 37 (appeals to magistrates’ court), as if the reference to an improvement notice were to an improvement notice served under regulation 10,
- (n) section 39 (appeals against improvement notices), as if—
  - (i) the reference to an improvement notice were to an improvement notice served under regulation 10, and
  - (ii) in subsection (3) “for want of prosecution” were omitted,
- (o) section 44 (protection of officers acting in good faith),
- (p) section 49 (form and authentication of documents), and
- (q) section 50 (service of documents).

*Name*

## SCHEDULE 1 Regulation 3

### Categories of specified food

**Category 1:** prepared soft drinks containing added sugar ingredients (other than the exempt soft drinks listed in paragraph 4(1)).

The following provisions apply for the purposes of this category.

1.—(1) “Soft drink” means—

- (a) a beverage of an alcoholic strength not exceeding 1.2%, or
- (b) a liquid or a powder which, when prepared in a specified manner, constitutes a beverage of an alcoholic strength not exceeding 1.2%.

(2) A liquid or a powder is prepared in a specified manner if it is—

- (a) diluted,
- (b) combined with crushed ice, or processed so as to create crushed ice,
- (c) combined with carbon dioxide, or
- (d) prepared by way of a process that involves any combination of the processes mentioned in paragraphs (a) to (c).

2.—(1) A soft drink is “prepared” if it is—

- (a) a soft drink within the meaning of paragraph 1(1)(a), or
- (b) a beverage that would result from preparing a liquid or a powder within paragraph 1(1)(b)—
  - (i) in a specified manner (*see* paragraph 1(2)), and
  - (ii) in accordance with the relevant dilution ratio.

(2) The “relevant dilution ratio” means—

- (a) the dilution ratio stated on, or calculated by reference to information stated on, the packaging of the soft drink, or
- (b) where no such dilution ratio or information is stated, the dilution ratio of similar drinks on the market.



**3.—(1)** A soft drink contains “added sugar ingredients” if any of the following are combined with other ingredients at any stage in the production of the soft drink—

- (a) calorific monosaccharides or disaccharides;
- (b) a substance containing calorific monosaccharides or disaccharides.

(2) But a soft drink does not contain “added sugar ingredients” only by reason of containing fruit juice, vegetable juice or milk (or any combination of them).

(3) For the purposes of sub-paragraph (2)—

- (a) “fruit juice” is to be construed in accordance with regulation 5 of the Soft Drinks Industry Levy Regulations 2018(1) (sugar content condition: fruit juice) (“the SDIL Regulations”);
- (b) “vegetable juice” is to be construed in accordance with regulation 6 of the SDIL Regulations (sugar content condition: vegetable juice);
- (c) “milk” is to be construed in accordance with regulation 7 of the SDIL Regulations (sugar content condition and exempt soft drinks: milk and milk-based drinks).

**4.—(1)** The following are “exempt soft drinks”—

- (a) alcohol substitute drinks which meet specified conditions, and
- (b) soft drinks of a specified description which are for use for medicinal or other specified purposes.

(2) For the purposes of sub-paragraph (1)(a), the specified conditions are—

- (a) condition 1 provided for by paragraph (2) of regulation 9 of the SDIL Regulations (exempt soft drinks: alcohol substitute drinks), and
- (b) one or more of conditions 2, 3 and 4 provided for by paragraphs (3) to (5) of regulation 9 of the SDIL Regulations.

(3) For the purposes of sub-paragraph (1)(b)—

- (a) the specified purposes are the purposes provided for by paragraph (1) of regulation 10 of the SDIL Regulations (exempt soft drinks: for medicinal or other purposes), and
- (b) the specified descriptions are the descriptions provided for in paragraphs (2) and (3) of regulation 10 of the SDIL Regulations.

**Category 2:** any of the following:

1. Savoury snacks whether intended to be consumed alone or as part of a complete meal including—

- (a) products made from potato, other vegetables, grain or pulses;
- (b) extruded, sheeted and pelleted products;
- (c) bagged savoury crackers, rice cakes or biscuits,

such as crisps, pitta bread based snacks, pretzels, poppadums, salted popcorn and prawn crackers (but not raw, roasted, coated or flavoured nuts).

2. Pork rind-based snacks whether intended to be consumed alone or as part of a complete meal.

**Category 3:** Breakfast cereals, including ready-to-eat cereals, granola, muesli, porridge oats and other oat-based cereals.

**Category 4:** Confectionery, including chocolates and sweets.

**Category 5:** Ice cream, ice lollies, frozen yogurt, water ices and similar frozen products.

**Category 6:** Cakes and cupcakes.

**Category 7:** Sweet biscuits and bars based on one or more of nuts, seeds or cereal.

**Category 8:** Morning goods, including croissants, pains au chocolat and similar pastries, crumpets, pancakes, buns, teacakes, scones, waffles, Danish pastries and fruit loaves.

**Category 9:** Desserts and puddings, including pies, tarts and flans, cheesecake, gateaux, dairy desserts, sponge puddings, rice pudding, crumbles, fruit fillings, powdered desserts, custards, jellies and meringues.

**Category 10:** Sweetened (whether with sugar or otherwise) yoghurt and fromage frais.

**Category 11:** Pizza (except plain pizza bases).

**Category 12:** Roast potatoes, potato and sweet potato chips, fries and wedges, potato waffles, novelty potato shapes (such as smiley faces), hash browns, rostis, crispy potato slices, potato croquettes.

**Category 13:** Any of the following:

1. Products that are marketed as ready for cooking or reheating without requiring further preparation and intended to be consumed as a complete meal.

2. Products, other than products that contain pastry, in or with a sauce (but not a marinade, glaze, dressing, seasoning or similar accompaniment) that are marketed as ready for cooking or reheating without requiring further preparation and intended to be consumed as the main element of a meal.

3. Breaded or battered—

- (a) vegetable, fish, shellfish, meat or poultry products;
- (b) substitute fish, shellfish, meat or poultry products,

including fish fingers, fish cakes, chicken nuggets and breaded meat substitute.

## **SCHEDULE 2** Regulation 12

### **Fixed monetary penalties**

#### **Civil sanctions**

1.—(1) A food authority may by notice impose a fixed monetary penalty on a person in relation to an offence under regulation 11.

(2) Before doing so, the food authority must be satisfied beyond reasonable doubt that the person has committed an offence.

(3) The amount of penalty to be paid to the food authority as a fixed monetary penalty is £2,500.

#### **Notice of intent**

2.—(1) When a food authority proposes to impose a fixed monetary penalty on a person, the food authority must serve on that person a notice of what is proposed (“a notice of intent”).

(2) The notice of intent must include—

- (a) the grounds for the proposal to impose the fixed monetary penalty;
- (b) the amount of the penalty;
- (c) a statement that the liability for the penalty can be discharged by paying 50% of the penalty within 28 days beginning with the day on which the notice was received;
- (d) information as to—
  - (i) the right to make representations and objections within 28 days beginning with the day on which the notice of intent was received;
  - (ii) the circumstances in which the food authority may not impose the fixed monetary penalty (including any defences relating to the offence in relation to which the notice is served).

### **Discharge of liability**

3. The penalty is discharged if a person who receives a notice of intent pays 50% of the amount of the penalty within 28 days beginning with the day on which the notice was received.

### **Making representations and objections**

4. A person on whom a notice of intent is served may within 28 days beginning with the day on which the notice was received make written representations and objections to the food authority in relation to the proposed imposition of the fixed monetary penalty.

### **Service of final notice**

5.—(1) If the person who has received notice of intent does not discharge liability within 28 days, the food authority may serve a final notice imposing a fixed monetary penalty.

(2) The food authority may not serve a final notice on a person where the food authority is satisfied that the person would not, by reason of any defence, be liable to be convicted of the offence to which the notice relates.

(3) Where a food authority has served a final notice relating to a fixed monetary penalty, it may not serve any other notice under these Regulations in relation to the offence.

### **Contents of final notice**

6. A final notice must include information as to—
- (a) the amount of the penalty;
  - (b) the grounds for imposing the penalty;

- (c) how payment may be made;
- (d) the period of 28 days within which payment must be made;
- (e) details of the early payment discount and late payment penalties;
- (f) rights of appeal;
- (g) the consequences of non-payment.

### **Discount for early payment**

**7.** If a person who was served with a notice of intent made representations or objections concerning that notice within the time limit, that person may discharge the final notice by paying 50% of the penalty within 14 days beginning with the day on which the final notice was received.

### **Grounds of appeal**

**8.—(1)** A person who receives a final notice may appeal against it.

- (2) The grounds of appeal are—
  - (a) that the decision was based on an error of fact;
  - (b) that the decision was wrong in law;
  - (c) that the decision was unreasonable;
  - (d) that the decision was wrong for any other reason.

### **Appeals**

**9.—(1)** An appeal under paragraph 8 is to the First-tier Tribunal.

- (2) A final notice is suspended pending the determination or withdrawal of the appeal.
- (3) The First-tier Tribunal may—
  - (a) withdraw, confirm or vary a final notice,
  - (b) take such steps as the food authority could have taken in relation to the act or omission giving rise to a final notice, or
  - (c) remit the decision whether to confirm a final notice, or any other matter relating to that decision, to the food authority.

### **Non-payment after 28 days**

**10.—(1)** The penalty must be paid within 28 days of receipt of the final notice.

- (2) If the penalty is not paid within 56 days, the amount payable is increased by 50%.
- (3) In the case of an appeal, the penalty (whether varied or confirmed by the First-Tier Tribunal) is payable within 14 days of the determination of the

appeal, and if it is not paid within 14 days the amount of the penalty is increased by 50%.

### **Recovery of payments**

**11.** A food authority may recover any penalty imposed under this Schedule, on the order of a court, as if payable under a court order.

### **Criminal proceedings**

**12.**—(1) If a notice of intent for a fixed monetary penalty is served on any person—

- (a) no criminal proceedings for the offence may be instituted against that person in respect of the act or omission to which the notice relates before 28 days from the date on which the notice of intent is received, and
- (b) if that person discharges liability, that person may not at any time be convicted of the offence in relation to that act or omission.

(2) If a fixed monetary penalty is imposed on any person, that person may not at any time be convicted of the offence in respect of the act or omission giving rise to the penalty.

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