

FDA VOLUNTARY NATIONAL RETAIL FOOD REGULATORY PROGRAM STANDARDS

**Self-Assessment & Verification Audit
Workshop**

Waltham, MA

April 2-4, 2024

Welcome Instructors

- Mary Leong, RFS
- Steve Nattrass, RFS
- Tom Nerney, RFS
- Valerie Potopsingh, RFS
- Mike Touhey, RFS

Tell Us About You

- Name
- Jurisdiction/Location
- Experience in Retail Program Standards
 - Years enrolled
 - Standards your jurisdiction meets or working toward
 - New enrollee

Standards as a Program Framework

- Standards provide:
 - A guide to design and management of a retail food program
 - A program foundation
 - A tool to evaluate the effectiveness of food safety interventions

Current Environment

State & Local Retail Food Programs

- Diminishing Resources (NEHA reports 10% reduction of work force for State and local health agency since 2007)
- Competing Program Priorities
- Retail Food Safety Risk Assessment Needed
- “Outputs” rather than “Outcomes” used to measure “Program Effectiveness”
- Program Performance Measures not clearly identified
- No mechanism for conducting FTE “cost-benefit” justification

State & Local Retail Food Programs

As resource capacities are diminishing, the size of the foodservice industry is rapidly increasing

The National Restaurant Association statistics on the increased number of restaurants nationally:

1972 – 491,000 Restaurants

2020 – > 1,000,000 Restaurants

The Food Marketing Institute 2020 report:

> 250,000 Retail Food Stores

~ 300 to 500 Establishments for each Retail Food Safety Inspection Officer

THESE FORCES MAY LEAD TO:

- Disincentive on the part of regulatory programs to devote resources for initiatives designed to enhance program effectiveness
- Lack of uniformity in Food Codes - not viewed as a critical performance issue
- Lack of resources to properly train and standardize regulatory health officials
- Insufficient time for inspections leads to less regulatory focus on foodborne illness risk factors

THESE FORCES CAN LEAD TO:

- Regulatory retail food program quality assurance processes focused on **Outputs** rather than **Outcomes**
- Review of compliance protocols lacking to ensure due process and fairness to the industry
- Insufficient resources presents challenges to the formation of committees, task forces, etc., that provide a forum for industry input
- Industry permit fees often based on increases in inspection loads rather than services provided

Summary

Identify Program Needs to Address

- A “holistic approach” (FSMA) to retail food safety
- Method for setting food safety priorities using a risk-based performance measurement
- Identification of program areas where an agency can have the greatest impact on retail food safety
- Wider application of effective FBI risk factor intervention strategies

Summary

Identify Program Needs To Address

- Information to **justify program budgets and FTEs**
- Incentives for **innovations** in program implementation and administration
- Avenues for **improving industry and consumer confidence**

THE 9 STANDARDS

- STANDARD 1 - REGULATORY FOUNDATION
- STANDARD 2 - TRAINED REGULATORY STAFF
- STANDARD 3 - INSPECTION PROGRAM BASED ON HACCP PRINCIPLES
- STANDARD 4 - UNIFORM INSPECTION PROGRAM
- STANDARD 5 - FOOD BORNE ILLNESS RESPONSE
- STANDARD 6 - COMPLIANCE & ENFORCEMENT
- STANDARD 7 - INDUSTRY & COMMUNITY RELATIONS
- STANDARD 8 - PROGRAM RESOURCES
- STANDARD 9 - PROGRAM ASSESSMENT

Retail Food Program Standards Web Site

FDA

<http://www.fda.gov/retailprogramstandards>

Voluntary National Retail Food Regulatory Program Standards

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Voluntary National Retail Food
Regulatory Program Standards

The Voluntary National Retail Food Regulatory Program Standards (Retail Program Standards) *define what constitutes a highly effective and responsive program* for the regulation of foodservice and retail food establishments.

They begin by providing a foundation and system upon which all regulatory programs can build through a continuous improvement process. The Retail Program Standards encourage regulatory agencies to improve and build upon existing programs. Further, they provide a framework designed to accommodate both traditional and emerging approaches to food safety.

The Retail Program Standards are intended to reinforce proper sanitation (good retail practices) and operational and environmental prerequisite programs while encouraging regulatory agencies and industry to focus on the factors that cause and contribute to foodborne illness, with the ultimate goal of reducing the occurrence of those factors. In support of this goal, FDA works cooperatively with our state, local, territorial and tribal partners using a risk-based approach to leverage limited resources. The Retail Program Standards represent an important component of a comprehensive strategic approach to help ensure the safety and security of the food supply at the retail level.

Content current as of:
01/12/2023

Regulated Product(s)
Food & Beverages



[2022 Retail Program Standards and Worksheets](#)

If you have questions about the Retail Program Standards, please contact an [FDA Retail Food Specialist](#).

Voluntary National Retail Food Regulatory Program Standards

Voluntary National Retail Food Regulatory Program Standards - November 2019



"Standards of Excellence for Continual Improvement"

Developed and recommended by the U.S. Food and Drug Administration with input from federal, state, and local Regulatory officials, Industry, trade associations, academia, and consumers.

OMB Control No. 0910-0621

Expiration Date: 09-30-2023

See additional PRA statement

Paperwork Reduction Act of 1995 (PDF - 100KB)

Table of Contents

Note: If you are having trouble opening a document, please save the file to your computer first. To save a PDF file, right mouse click the link and select "Save Target As" or "Save Link As." Follow prompts to save the file to your desired location, taking care to remember where you saved the PDF file. You may then open it within Acrobat Reader.

Overview of the Retail Program Standards

- [Introduction to the Standards \(PDF: 72KB\)](#)
- [Program Standards Definitions \(PDF: 52KB\)](#)

Voluntary National Retail Food Regulatory Program Standards

Overview of the Retail Program Standards

- [Introduction to the Standards \(PDF: 72KB\)](#)
- [Program Standards Definitions \(PDF: 52KB\)](#)

Information about Enrolling and Participating in the Retail Program Standards

The U.S. Food and Drug Administration (FDA) is issuing a statement clarifying that Verification Audits conducted as part of the 2019 version of the Voluntary National Retail Food Regulatory Program Standards (VNRFRPS) may be conducted either virtually or on-site. A change will be made within the "Instructions for Completing the Program Self-Assessment and Verification Audit Form" for each of the nine standards. The words "on-site visit" will be replaced with the words "Verification Audit", which is a defined term within the VNRFRPS. This editorial change is being made by the FDA outside of the normal Conference for Food Protection (CFP) cycle. Additionally, language will be added to the section entitled "Verifying the Self-Assessment" section of the Administrative Procedures document for clarification purposes.



- [Clearinghouse Work Group Questions and Answers for implemented 2019 standards \(PDF: 692KB\)](#) August 2021
- [Clearinghouse Fact Sheet \(PDF: 557KB\)](#)
- [Administrative Procedures \(PDF: 145KB\)](#)
- [FDA National Registry Report \(FDA Form 3958\) \(PDF: 1.19MB\)](#)
- [Self Assessment/Audit Verification Summary and Gap Analysis Tool \(XLS: 106KB\)](#)
This tool is a secondary means of collecting information associated with the VNRFRPS and the existing PDF versions are the official 508 compliant version of the worksheets.





Standard 1: Regulatory Foundation

- [Standard 1 \(PDF: 90KB\)](#)
- [Standard 1 – Self-Assessment and Verification Audit Form \(PDF: 776KB\)](#)
- [Standard 1 – Self-Assessment Instructions and Worksheet for Part I \(PDF: 387KB\)](#)
- [Standard 1 – Self-Assessment Instructions and Worksheet for Part II \(PDF: 1.1MB\)](#)
- [Standard 1 – Self-Assessment Instructions and Worksheet for Part III \(PDF: 234KB\)](#)
- [Standard 1 – Verification Audit Instructions and Worksheet for Part I \(PDF: 720KB\)](#)
- [Standard 1 – Verification Audit Instructions and Worksheet for Part II \(PDF: 687KB\)](#)
- [Standard 1 – Verification Audit Instructions and Worksheet for Part III \(PDF: 683KB\)](#)

Voluntary National Retail Food Regulatory Program Standards

Standard 8: Program Support and Resources

- [Standard 8 \(PDF: 111KB\)](#)
- [Standard 8 – Self-Assessment and Verification Audit Form \(PDF: 883KB\)](#)
- [Standard 8 – Self-Assessment Instructions and Worksheet \(PDF: 706KB\)](#)
- [Standard 8 – Staffing Level \(FTE to Inspection Ratio\) Assessment Workbook Instruction Guide](#) 
- [Standard 8 – Staffing Level \(FTE to Inspection Ratio\) Assessment Workbook](#) 

Standard 9: Program Assessment

- [Standard 9 \(PDF: 92KB\)](#)
- [Standard 9 – Self-Assessment and Verification Audit Form \(PDF: 214KB\)](#)

Other Important Documents

- 
- [Summary of Changes \(PDF: 65KB\)](#)
 - [Voluntary National Retail Food Regulatory Program Standards Compiled \(PDF: 2.07MB\)](#)

Retail Food Program Standards Web Site

<http://www.fda.gov/retailprogramstandards>

- [Crosswalk on Public Health Accreditation and Retail Program Standards](#) 

 disclaimer icon

This document provides an overview of the similarities between the Retail Program Standards and the PHAB accreditation process and details the connections between the criteria that apply within each initiative. The detailed crosswalk provides specific examples of where documentation generated when implementing the Retail Program Standards can be used to satisfy documentation requirements associated with the accreditation process. This document will assist those who pursue conformance with the Retail Program Standards and PHAB Accreditation concurrently, without duplicating resources or effort.

Resources Available to Enrolled Jurisdictions

Retail Food Protection Page

<http://www.fda.gov/RetailFoodProtection>

Retail Food Protection

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- Retail Food Protection**

- Listing of Retail Food Protection Information and Resources

- FDA Food Code**

- [Food Defense & Emergency Response for Retail Food](#)

- [Retail Food Industry/Regulatory Assistance & Training](#)

- Retail Food Risk Factor Study**

- [Retail Food Safety Initiative](#)

- [Standardization of Retail](#)



A Cooperative Program

More than 3,000 state, local and tribal agencies have primary responsibility to regulate the retail food and foodservice industries in the United States. They are responsible for the inspection and oversight of over 1 million food establishments - restaurants and grocery stores, as well as vending machines, cafeterias, and other outlets in health-care facilities, schools, and correctional facilities.

FDA strives to promote the application of science-based food safety principles in retail and foodservice settings to minimize the incidence of foodborne illness.



Retail Food Protection Page

<http://www.fda.gov/RetailFoodProtection>

Contact FDA

Outreach and Information Center
1-888-SAFEFOOD
1-888-723-3366[®]
10 AM- 4 PM EST
Closed Thurs 12:30PM - 1:30PM EST

Inquiries: [Submit Your Question](#)

Center for Food Safety and Applied Nutrition
Food and Drug Administration
5001 Campus Drive
College Park, MD 20740

[Industry and Consumer Assistance](#)

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Subscribe to Retail Food Protection Email Updates
Get regular FDA email updates delivered on this topic to your inbox.

Resources Available to Enrolled Jurisdictions



<https://www.fda.gov/food/retail-food-protection/fda-food-code>

FDA Food Code

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FDA Food Code

[Food Code 2022](#)

[Food Code 2017](#)

[Food Code 2013](#)

[Food Code 2009](#)

[Food Code 2005](#)

[Food Code 2001](#)

[Food Code 1999](#)

[Food Code 1997](#)

The U. S. Food and Drug Administration (FDA) publishes the Food Code, a model that assists food control jurisdictions at all levels of government by providing them with a scientifically sound technical and legal basis for regulating the retail and food service segment of the industry (restaurants and grocery stores and institutions such as nursing homes). Local, state, tribal, and federal regulators use the *FDA Food Code* as a model to develop or update their own food safety rules and to be consistent with national food regulatory policy.

Between 1993 and 2001, the Food Code was issued in its current format, every two years. With the support of the Conference for Food Protection (CFP), FDA decided to move to a four-year interval between complete Food Code editions. During the interim period between full editions, FDA may publish a Food Code Supplement that updates, modifies, or clarifies certain provisions. The 2005 Food Code was the first full edition published on the new four-year interval, and it was followed by the Supplement to the 2005 Food Code, which was published in 2007. The 2022 Food Code is the most recent full edition published by FDA.

Content current as of:
12/28/2022

Regulated Product(s)
Food & Beverages

Topic(s)
Retail Food Protection
Food & Beverage Safety

Resources Available to Enrolled Jurisdictions

<https://www.fda.gov/food/retail-food-protection/retail-food-industryregulatory-assistance-training>

Retail Food Industry/Regulatory Assistance & Training

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Topics on this page:

- [Time and Temperature Control for Safety](#)
- [Preventing Cross-Contamination](#)
- [Employee Health](#)
- [Plan Review at Retail Food Establishments](#)
- [Special Processes as Retail](#)
- [Labeling](#)
- [HACCP](#)
- [Retail Food Protection Industry Educational Materials](#)
- [Information about the Risk Factor Study](#)
- [Free Training Provided by the Food and Drug Administration](#)
- [Other Information](#)
- [General Retail Resources](#)



FoodSHIELD Retail Food Program Standards Resource Center

<http://www.FoodShield.org>

The screenshot shows the FoodSHIELD application interface. At the top, there is a dark blue header with the FoodSHIELD logo on the left, and 'Apps' and a notification bell icon on the right. Below the header, there is a navigation bar with 'My Groups' (selected), 'View All', 'Create', 'Invites 0', and 'Access Requests 0'. The main content area is titled 'Workg' and displays a list of groups. The groups listed are: 'PFP Training & Certification Workgroup', 'CoreSHIELD Internal Advisory Committee', 'Iowa Food and Consumer Safety Regulators', 'PFP T&C WG Project 2', and 'Retail Food Program Standards Resource Center'. The 'Retail Food Program Standards Resource Center' group is circled in red. To the right of the group list, there is a 'Post' button and a link icon. Below these buttons, there is a 'Post to Group:' dropdown menu.

PROGRAM STANDARDS RESOURCES QUESTIONS



Self-Assessment & Verification Audit Workshop Objectives

- Participants should be able to:
 - Define the core requirements for each of the nine Program Standards
 - Describe the self-assessment and verification audit process for each of the nine Program Standards
 - Assess retail food regulatory program information to determine compliance with the core criteria in each of the nine Program Standards

Self-Assessment & Verification Audit Workshop Format

- Participants will be split into breakout groups
- After each Standard presentation, each breakout group will complete a series of questions / scenarios, approximately 20-30 minutes will be allocated for each Standard
- Each breakout group will identify a spokesperson (rotate for each Standard)

Self-Assessment & Verification Audit Workshop Format

- After each breakout, we will discuss the answers in the large group
- Questions and scenarios have been divided into three categories
 - **INFORMATION**
 - **APPLICATION**
 - **INTERPRETATION**

Self-Assessment & Verification Audit Workshop Format

- The workshop is divided into two parts:
 - Self-Assessment Process for each Standard
 - * This will also cover the verification audit process for Standards 3, 4, 5, 7, 8, 9 because the criteria for review is the same
 - Verification Audit Process for Standards 1, 2, and 6

WORKSHOP FORMAT & EXPECTATIONS QUESTIONS



Administrative Procedures for Participation in the Voluntary National Retail Food Regulatory Program Standards

Retail Food Program Standards Web Site



<http://www.fda.gov/retailprogramstandards>

Voluntary National Retail Food Regulatory Program Standards

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The Voluntary National Retail Food Regulatory Program Standards (Retail Program Standards) *define what constitutes a highly effective and responsive program* for the regulation of foodservice and retail food establishments.

They begin by providing a foundation and system upon which all regulatory programs can build through a continuous improvement process. The Retail Program Standards encourage regulatory agencies to improve and build upon existing programs. Further, they provide a framework designed to accommodate both traditional and emerging approaches to food safety.

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Content current as of:

04/11/2023

Regulated Product(s)

Food & Beverages

→ 2022 Retail Program Standards and Worksheets

If you have questions about the Retail Program Standards, please contact an [FDA Retail Food Specialist](#).

Retail Food Program Standards Web Site

<http://www.fda.gov/retailprogramstandards>

Voluntary National Retail Food Regulatory Program Standards

Table of Contents

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Overview of the Retail Program Standards

- [Introduction to the Standards \(PDF: 213B\)](#)
- [Program Standards Definitions \(PDF: 182KB\)](#)

Information about Enrolling and Participating in the Retail Program Standards

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- [Retail Program Standards Reference System](#)
- [Clearinghouse Work Group Questions and Answers for implemented 2022 standards \(PDF: 760KB\) April 2023](#)
- [Clearinghouse Fact Sheet \(PDF: 557KB\)](#)
- [Administrative Procedures \(PDF: 1449KB\)](#)
- [Retail Program Standards Timeline \(PDF: 165KB\)](#)
- [FDA National Registry Report \(FDA Form 3958\) \(PDF: 1.19MB\)](#)
- [Self Assessment/Audit Verification Summary and Gap Analysis Tool \(XLS: 105KB\)](#)
This tool is a secondary means of collecting information associated with the VNRFRPS and the existing PDF versions are the official 508 compliant version of the worksheets.



Administrative Procedures

Overview of the Process

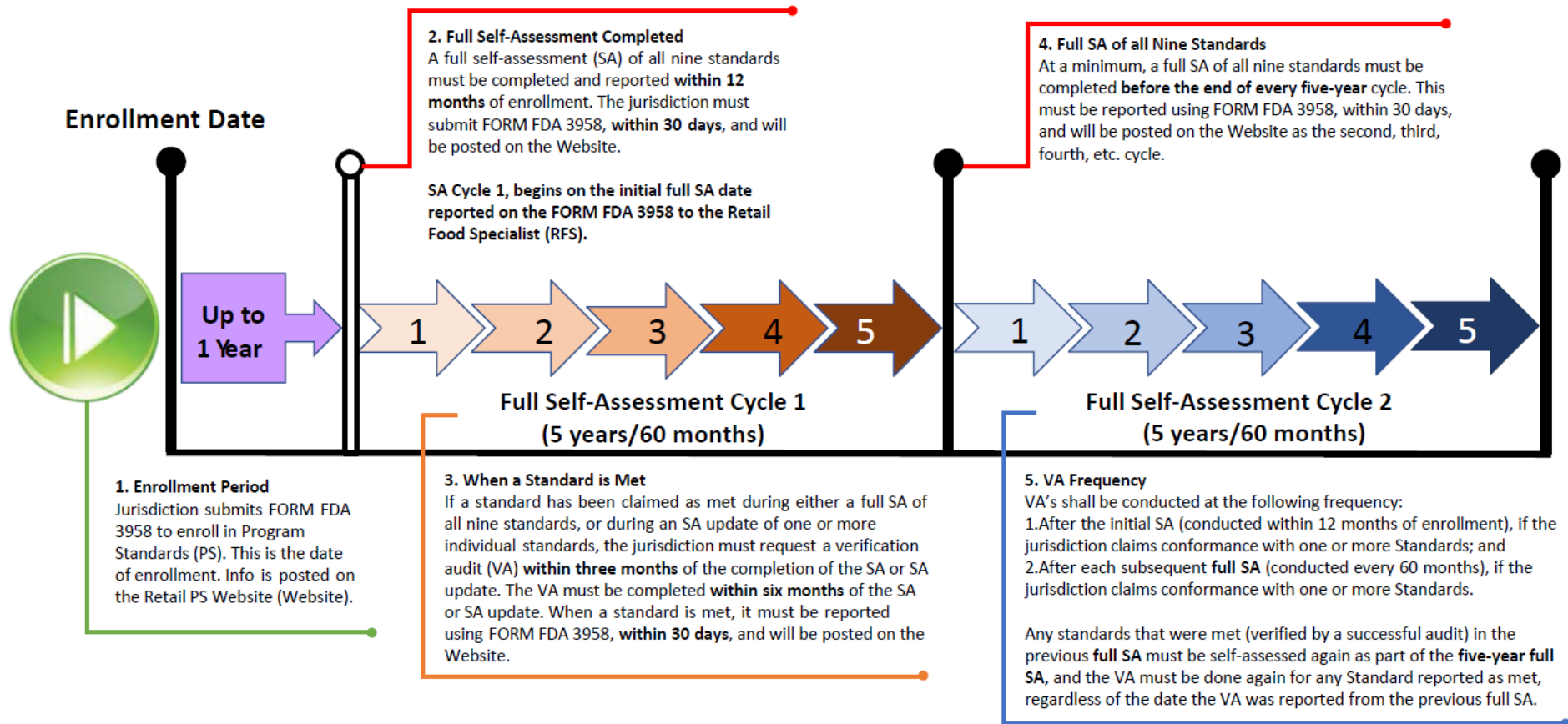
- Self-assessment completed and reported to FDA
- Verification Audit requested and conducted on Standards the jurisdiction indicates as having met
- Reporting Program Standards status using the *Form FDA 3958, Voluntary National Retail Food Regulatory Program Standards FDA National Registry Report submitted to the FDA Retail Food Specialist*

Administrative Procedures

Overview of the Process

Retail Program Standards Timeline

This standard timeline represents information from the Administrative Procedures Manual only. Questions should be referred to your Retail Food Specialist (RFS). This document was last updated in June 2022.



Administrative Procedures

Self-Assessments

- **Self-assessment within 12 months** of enrollment & every **60 months** thereafter to:
 - Compare program elements to relevant criteria in the Standards;
 - Determine if supporting records are maintained

Administrative Procedures, Page AP-3

Administrative Procedures

Self-Assessments

- The most recent version of the Retail Food Program Standards must be used when completing a required self-assessment.
- If a jurisdiction is updating a current self-assessment, it can either use the version of the Standards effective when the current self-assessment was completed or the current version of the Standards, at the jurisdiction's discretion.

Administrative Procedures, Page AP-4

Administrative Procedures

Verification Audits

- The jurisdiction must request a Verification Audit(VA) within **3 months** of the completion of the Full Self-Assessment of all Nine Standards (SA9) or Self-Assessment update in which one or more of standard is met.
- The verification audit should be completed within **6 months** of the SA9 or Self-Assessment Update.
 - May be conducted either virtually or on-site.

Administrative Procedures, Page AP-4-5

Administrative Procedures

Who can perform an Audit?

The audit may be conducted by an authorized city, county, district, state, federal, tribal official or other third-party person who has no responsibilities for the day-to-day operations of the jurisdiction requesting the verification audit.

Administrative Procedures, Page AP-4

Administrative Procedures

Reporting

- Complete and submit a Form FDA 3958 to the appropriate FDA Retail Food Specialist **within 30 days** following a Self-Assessment, Self-Assessment Update, and any Verification Audit
- The latest version of this form is available on the FDA Retail Program Standards website:
 - <https://www.fda.gov/food/voluntary-national-retail-food-regulatory-program-standards/voluntary-national-retail-food-regulatory-program-standards-august-2022>

Administrative Procedures



National Registry Report FDA Form 3958

DEPARTMENT OF HEALTH AND HUMAN SERVICES
Food and Drug Administration

**Voluntary National Retail Food Regulatory Program Standards
FDA NATIONAL REGISTRY REPORT**

Form Approved
OMB Number 0910-0621
Expiration Date: 09/30/2023
(See Public Reporting Burden Statement on page 2.)

1. Information about the Jurisdiction

Name of Jurisdiction Reporting This Information		Address	
		City	State
			ZIP Code
Contact Person for Jurisdiction	Title for Contact Person	Phone Number for Jurisdiction's Contact Person	
Website Link for Jurisdiction		Jurisdiction is willing to serve as an auditor for another jurisdiction: <input type="checkbox"/> Yes <input type="checkbox"/> No	
E-Mail Address for Jurisdiction's Contact Person			

2. Information about Enrollment Enrollment Date (DD/MM/YYYY)

Please enroll this jurisdiction in the Retail Program Standards

Please remove this jurisdiction from the Listing of Enrolled Jurisdictions

Update Results for the Self-Assessment.

Other - Please explain

3. Information about Self-Assessment Findings and Verification Audit Findings

Completion Date for Self-Assessment

Instructions for Completing this Section
** If the jurisdiction's self-assessment indicates conformance with any Standards, please mark the applicable Standards. Only enter a date if it differs from that of the self-assessment completion date (i.e. a self-assessment update was conducted).
*** If the jurisdiction's verification audit confirms conformance with any Standards, please mark the applicable Standards and indicate the completion date.
**** All dates should be entered in the MMDD/YYYY format.

Program Standard Number	Self-Assessment**	Verification Audit***
	Program Standard Met (Mark all that apply)	Verification Audit Confirmed (Mark all that apply and enter the date confirmed for each)
1	<input type="checkbox"/>	<input type="checkbox"/>
2	<input type="checkbox"/>	<input type="checkbox"/>
3	<input type="checkbox"/>	<input type="checkbox"/>
4	<input type="checkbox"/>	<input type="checkbox"/>
5	<input type="checkbox"/>	<input type="checkbox"/>
6	<input type="checkbox"/>	<input type="checkbox"/>
7	<input type="checkbox"/>	<input type="checkbox"/>
8	<input type="checkbox"/>	<input type="checkbox"/>
9	<input type="checkbox"/>	<input type="checkbox"/>

4. Permission to Publish Information on the FDA Website

Permission is granted to publish the following information in the Listing of Jurisdictions Enrolled in the Voluntary National Retail Food Regulatory Program Standards:

Enrollment information Self-assessment findings Verification audit findings

Authorized Individual (Printed)	Title	Date (mm/dd/yyyy)

FORM FDA 3958 (10/18) Page 1 of 2

Instructions for Completing FDA National Registry Report - Form 3958

The FDA National Registry Report must be completed and submitted to the appropriate FDA Regional Retail Food Specialist (Retail Food Specialist) within 30 days following completion of the self-assessment, self-assessment update, or verification audit. The Listing of Jurisdictions Enrolled in the Voluntary National Retail Food Regulatory Program Standards will be updated using data contained in this report.

This form may be completed online and printed for submission to the appropriate Retail Food Specialist. Alternatively, this form may be completed online and submitted electronically to the appropriate Retail Food Specialist. A listing of Retail Food Specialists, by state, can be found on FDA's Retail Program Standards website (www.fda.gov/RetailProgramStandards).

Part 1: Information about the Jurisdiction

- Enter the jurisdiction name, and the jurisdiction address.
- Enter the name and contact information for the contact person for this jurisdiction. This is the individual to whom Retail Program Standards correspondence will be sent.
- Enter the jurisdiction's website address.
- Indicate if the jurisdiction is willing to serve as an auditor for another jurisdiction.

Part 2: Information about Enrollment

- Select the first box to indicate that the jurisdiction is a new enrollee. Please also enter the enrollment date.
- Select the second box to indicate that you would like to remove this jurisdiction from the Listing of Jurisdictions Enrolled in the Voluntary National Retail Food Regulatory Program Standards.
- Select the third box to indicate that you are updating the findings from your self-assessment or verification audit. If you are updating this information please select the relevant self-assessment.
- If the first three options are not applicable, select "Other" and provide additional information.

Part 3: Information about Self-Assessment Findings and Verification Audit Findings

- Enter the date that the self-assessment was completed.
- Check the applicable boxes to indicate which Standards were met, as determined by the self-assessment. For each box that is checked, do not enter a date unless the self-assessment date for that Standard is different than the date that the self-assessment was completed (i.e. a self-assessment update was completed for Standard X after the self-assessment was completed.)
- Check the applicable boxes in the third column to indicate which Standards were met, as verified by a verification audit. For each box that is checked, a date should be entered to indicate the date that the verification audit was completed for that Standard.

Part 4: Permission to Publish Information on FDA's Website

- With your permission, information submitted on this form will be published on FDA's Listing of Jurisdictions Enrolled in the Voluntary National Retail Food Regulatory Program Standards. Check the appropriate box(es) to indicate what information FDA may publish on the website.

After completing Parts 1-4, the Program Manager must:

- Enter the name of the Authorized Individual. This may be the Program Manager or another individual authorized to submit this information.
- Provide the signature of the Authorized Individual for the reporting jurisdiction.
 - If the form is completed electronically, click the signature box to provide an electronic signature.
 - If the form is completed by hand, sign your name in the signature box.
- Enter the date that the form is signed.

This section applies only to requirements of the Paperwork Reduction Act of 1995.
DO NOT SEND YOUR COMPLETED FORM TO THE PRA STAFF ADDRESS BELOW.

This section applies only to the requirements of the Paperwork Reduction Act of 1996. The public reporting burden time for this collection of information is estimated to average 11 minutes per response, including the time to review instructions, search existing data sources, gather and maintain the data needed and complete and review the collection of information. Send comments regarding this burden estimate or any other aspect of this information collection, including suggestions for reducing this burden, to:

Department of Health and Human Services
Food and Drug Administration
Office of Operations
Paperwork Reduction Act (PRA) Staff
PRAstaff@fda.hhs.gov

Do not send your completed form to the PRA Staff email address to the left.
An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB number.

FORM FDA 3958 (10/18) Page 2 of 2

Administrative Procedures

Retail Program Standards

- Additional information related to the VNRFRPS can be found at:
<https://www.fda.gov/retailprogramstandards>
- Announcements related to RFFM, and upcoming events (training & seminars) as well as the last listing of enrolled jurisdictions.

Listing of Jurisdictions Enrolled in the Retail Program Standards

Who is enrolled?

→ [Listing of Jurisdictions Enrolled in the Voluntary National Retail Food Regulatory Program Standards](#) provides information about jurisdictions that have enrolled in the Retail Program Standards. The information is updated on a quarterly basis to reflect new enrollments, as well as to recognize achievements made by current enrollees. If you have questions about the enrollment information on this page, please contact retailfoodprotectionteam@fda.hhs.gov.

[Supporting Materials](#)

[Links to Other Standards](#)

[Courses, Workshops & Events](#)

[Funding and Grants](#)

Listing of Jurisdictions Enrolled in the Retail Program Standards



The image shows a screenshot of an Excel spreadsheet titled "Program Standards Listing - Excel". The spreadsheet has a single column of text starting from row 1. The first row (row 1) contains the title "Program Standards Listing - Excel". The subsequent rows (rows 2 through 26) list various jurisdictions. The list includes: Introduction, Alabama, Alaska, American Samoa, Arizona, Arkansas, California, Colorado, Connecticut, Delaware, Florida, Georgia, Guam, Hawaii, Idaho, Illinois, Indiana, Iowa, Kansas, Kentucky, Louisiana, Maine, Maryland, Massachusetts, and Michiqan. The text "Michiqan" appears to be a typo for "Michigan". The spreadsheet interface shows the active cell is A1, and the column headers are A through R.

Row	Column A
1	Program Standards Listing - Excel
2	Introduction
3	Alabama
4	Alaska
5	American Samoa
6	Arizona
7	Arkansas
8	California
9	Colorado
10	Connecticut
11	Delaware
12	Florida
13	Georgia
14	Guam
15	Hawaii
16	Idaho
17	Illinois
18	Indiana
19	Iowa
20	Kansas
21	Kentucky
22	Louisiana
23	Maine
24	Maryland
25	Massachusetts
26	Michiqan

Listing of Jurisdictions Enrolled in the Retail Program Standards



Alaska

Last Updated: 4/1/2022 8:11:48 PM

Standards Achieved [as determined by a Self-Assessment (SA) and Verification Audit (VA)] for Alaska

Enrolled Agency Name	Enrollment Date	Self-Assessment Period	Self-Assessment Completed	Achieved Conformance with Standard 1	Achieved Conformance with Standard 2	Achieved Conformance with Standard 3	Achieved Conformance with Standard 4	Achieved Conformance with Standard 5	Achieved Conformance with Standard 6	Achieved Conformance with Standard 7	Achieved Conformance with Standard 8	Achieved Conformance with Standard 9
Alaska Food Safety and Sanitation Program, ADEC	1/3/2006	1	3/5/2007							SA (3/5/2007) VA (6/12/2007)		SA (3/5/2007) VA (6/12/2007)
		2	6/25/2012			SA (6/25/2012) VA (11/1/2013)				SA (6/25/2012) VA (11/7/2013)		SA (6/25/2012) VA (4/1/2013)
		3	8/31/2017			SA (8/31/2017)				SA (8/31/2017)		SA (8/31/2017)
		4	2/6/2020			SA (2/6/2020)	SA (2/6/2020)	SA (2/6/2020)		SA (2/6/2020) VA (8/27/2020)		
Municipality of Anchorage Health Department	2/7/2001	1	12/31/2002	SA (12/31/2002)	SA (12/31/2002) VA (10/25/2006)					SA (12/31/2002) VA (7/1/2007)		SA (12/31/2002) VA (7/1/2007)
		2	3/31/2015		SA (3/31/2015) VA (10/25/2006)					SA (3/31/2015) VA (3/7/2006)		
		3	2/7/2020							SA (2/7/2020)		



Administrative Procedures

Dispute Resolution

(Page AP-5 Administrative Procedures Manual)

- Initial Steps to take with a Non-Conforming Audit
 - Contact Retail Food Specialist within 10 business days of the close of the audit
 - Discuss steps necessary to reconcile discrepancies and establish a correction plan; or
 - Establish a corrective action plan to retain information on web listing; or
 - Remove any incorrect self reported data from web listing

Administrative Procedures

Dispute Resolution

(Page AP-6 Administrative Procedures Manual)

- Role of the Program Standards Clearinghouse comprise of:
 - Two FDA Retail Food Specialists;
 - One member of the FDA Center of Food Safety and Applied Nutrition Retail Food Policy Team;
 - One representative from the Conference for Food Protection Program Standards Committee; and
 - Representatives from five jurisdictions enrolled in the Standards

Administrative Procedures

Dispute Resolution

(Page AP-6 Administrative Procedures Manual)

- Requesting Assistance from the Clearinghouse:
 - Written request from jurisdiction within 30 days of close of audit;
 - Explanation of issues in dispute;
 - Include a copy of the verification audit report;
 - Jurisdiction can include supporting information relevant to the results of the self-assessment or verification audit
 - Clearinghouse informs auditor of request. Auditor may submit written materials

Administrative Procedures

Dispute Resolution

(Page AP-6 Administrative Procedures Manual)

- Clearinghouse Assistance Process:
 - Sets date/time to hear facts from each side via conference call.
 - Both the jurisdiction and auditor will be given an opportunity to speak in support of materials submitted.
 - Clearinghouse may ask question of both sides.
 - Clearinghouse will deliberate in private before rendering a decision

Administrative Procedures

Dispute Resolution

(Pages AP-6-7 Administrative Procedures Manual)

- Clearinghouse Decisions:
 - Provides a written response to both the jurisdiction and the auditor within 10 business days of the conference call.
 - Clearinghouse panel decision is final

When is a Verification Audit Required?

(Page AP-4 Administrative Procedures Manual)

- Verification audits shall be conducted at the following frequency:
 - After the initial self-assessment (conducted within 12 months of enrollment), if the jurisdiction claims conformance with one or more Standards; and
 - After each subsequent self-assessment (conducted every 60 months), if the jurisdiction claims conformance with one or more Standards.

Participant Manual

Administrative Procedures Questions 1 and 2 Page 38

Administrative Procedures

Self-Assessments

- **Self-assessment within 12 months** of enrollment & every **60 months** thereafter to:
 - Compare program elements to relevant criteria in the Standards;
 - Determine if supporting records are maintained

Administrative Procedures, Page AP-3

Participant Manual

Administrative Procedures

Question 3

Page 38

Administrative Procedures

Self-Assessments

- The most recent version of the Retail Food Program Standards must be used when completing a required self-assessment.
- If a jurisdiction is updating a current self-assessment, it can either use the version of the Standards effective when the current self-assessment was completed or the current version of the Standards, at the jurisdiction's discretion.

Administrative Procedures, Page AP-4

Participant Manual

Administrative Procedures

Question 4

Page 38

Administrative Procedures

Verification Audits

- The jurisdiction must request a Verification Audit(VA) within **3 months** of the completion of the completion of the Full Self-Assessment of all Nine Standards (SA9) or Self-Assessment update in which one or more of standard is met.
- The verification audit should be completed within **6 months** of the SA9 or Self-Assessment Update.
 - May be conducted either virtually or on-site.

Administrative Procedures, Page AP-4-5

Participant Manual

Administrative Procedures

Question 5

Page 39

Administrative Procedures



Who can perform an Audit?

The audit may be conducted by an authorized city, county, district, state, federal, tribal official or other third-party person who has no responsibilities for the day-to-day operations of the jurisdiction requesting the verification audit.

Administrative Procedures, Page AP-4

Participant Manual

Administrative Procedures

Question 6

Page 39

Administrative Procedures

Dispute Resolution

(Pages AP-5 thru AP-7 Administrative Procedures Manual)

- Contact Retail Food Specialist within 10 business days of the close of the audit
- Request Assistance from the Clearinghouse

Participant Manual

Administrative Procedures

Question 7

Page 39

Administrative Procedures

When is a Verification Audit Required?

(Page AP-4 Administrative Procedures Manual)

- Verification audits shall be conducted at the following frequency:
 - After the initial self-assessment (conducted within 12 months of enrollment), if the jurisdiction claims conformance with one or more Standards; and
 - After each subsequent self-assessment (conducted every 60 months), if the jurisdiction claims conformance with one or more Standards.

PROGRAM STANDARDS ADMINISTRATIVE PROCEDURES QUESTIONS



Standard 3 Inspection Program Based on HACCP Principles

Preparing for the
Self Assessment
or
Verification Audit

Preparing for the Standard 3 Self-Assessment Source Documents

- Copy of Program Standard 3
- Clearinghouse Interpretations
- Standard 3 – Self-Assessment and Verification Audit Form
- The jurisdiction's inspection form
- Regulatory reference/guidance document that accompanies the inspection form
- Inspector's training or operating manual that details the use of the inspection form and/or other documents that demonstrate implementation of policies

Preparing for the Standard 3 Self-Assessment Forms and Worksheets

<http://www.fda.gov/retailprogramstandards>



The screenshot shows the top navigation bar of the FDA website. On the left is the FDA logo and the text "U.S. FOOD & DRUG ADMINISTRATION". On the right are "Search" and "Menu" buttons. Below the navigation bar is a breadcrumb trail: "← Home / Food / Guidance & Regulation (Food and Dietary Supplements) / Retail Food Protection / Voluntary National Retail Food Regulatory Program Standards". The main heading is "Voluntary National Retail Food Regulatory Program Standards". Below the heading are social sharing buttons for Facebook (Share), Twitter (Tweet), LinkedIn (LinkedIn), Email, and Print.

Standard 3: Inspection Program Based on HACCP Principles

- [Standard 3 \(PDF - 78KB\)](#)
- [Standard 3 – Self-Assessment and Verification Audit Form \(PDF - 334KB\)](#)

Standard 3 Inspection Program Based on HACCP Principles

Conducting the Self-Assessment or Verification Audit

(Pages 3-4 thru 3-10, Standards Manual)

Standard 3 – Inspection Program Based on HACCP Principles

Self-Assessment and Verification Audit Form

(Page 3-7, Program Standards Manual)

PROGRAM SELF-ASSESSMENT SUMMARY

Printed Name of the Person who conducted the Self-Assessment:	
Self-Assessor's Title:	
Jurisdiction Name:	
Jurisdiction Address:	
Phone:	
FAX:	
E-mail:	
Date the Standard 3 Self-Assessment was Completed:	
Self-Assessment indicates that the Jurisdiction MEETS the Standard 3 criteria (indicate YES/NO):	
<i>I affirm that the information represented in the Self-Assessment of Standard 3 is true and correct.</i>	
Signature of the Self-Assessor:	

VERIFICATION AUDIT SUMMARY

Printed Name of the Person who conducted the Verification Audit:	
Verification Auditor's Title:	
Auditor's Jurisdiction Name:	
Auditor's Jurisdiction Address:	
Phone:	
FAX:	
E-mail:	
Date the Verification Audit of Standard 3 was Completed:	
Verification Audit indicates that the Jurisdiction MEETS the Standard 3 criteria (indicate YES/NO):	
<i>I affirm that the information represented in the Verification Audit of Standard 3 is true and correct.</i>	
Signature of the Verification Auditor:	

Standard 3 – Inspection Program Based on HACCP Principles

Self-Assessment and Verification Audit Form

(Page 3-8 thru 3-10, Program Standards Manual)

Jurisdiction Name: _____

Criteria	Element	Jurisdiction's Self-Assessment	Jurisdiction's Self-Assessment	Self-Assessor's General Comments	Auditor's Verification	Auditor's Verification	If NO, Auditor is to specify why criterion is not met
		YES	NO		YES	NO	
1. Inspection Form Design	a) The jurisdiction's inspection form identifies foodborne illness risk factors and Food Code interventions						
1. Inspection Form Design	b) The jurisdiction's inspection form documents actual observations using the convention (IN, OUT, NO, and NA).						
1. Inspection Form Design	c) The jurisdiction's inspection form documents compliance and enforcement activities.						
2. Risk Assignment Categories	a) A risk assessment is used to group food establishments into at least 3 categories based on their potential and inherent food safety risks.						
2. Risk Assignment Categories	b) Documentation is provided of performed interventions, action, or activities designed to improve control of foodborne illness risk factors.						
3. Inspection Frequency	a) The jurisdiction's inspection frequency is based on the assigned risk categories.						

Standard 3 – Inspection Program Based on HACCP Principles Self-Assessment and Verification Audit Form

(Page 3-8 thru 3-10, Program Standards Manual)

Criteria	Element	Jurisdiction's Self-Assessment YES	Jurisdiction's Self-Assessment NO	Self-Assessor's General Comments	Auditor's Verification YES	Auditor's Verification NO	If NO, Auditor is to specify why criterion is not met
4. Written and Implemented Corrective Action Policy	a) The jurisdiction has a written and implemented policy that requires on-site corrective actions for foodborne illness risk factors observed to be out of compliance.						
4. Written and Implemented Corrective Action Policy	b) The jurisdiction has a written and implemented policy that requires discussion for long-term control of foodborne illness risk factors.						
4. Written and Implemented Corrective Action Policy	c) The jurisdiction has a written and implemented policy that requires follow-up activities on foodborne illness risk factor violations.						
5. Variance Requests	a) The jurisdiction has a written and implemented policy on variance requests related to foodborne illness risk factors and Food Code interventions.						
6. Verification and Validation of HACCP Plans	a) The jurisdiction has a written and implemented policy for the verification and validation of HACCP plans, when a HACCP plan is required by the Code.						



Standard 3 – Inspection Program Based on HACCP Principles Self-Assessment and Verification Audit Form

(Page 3-8 thru 3-10, Program Standards Manual)

GENERAL NOTES PERTAINING TO THE PROGRAM SELF-ASSESSMENT OR THE VERIFICATION AUDIT

A large, empty rectangular box with a thin black border, intended for handwritten or typed notes related to the self-assessment or verification audit.

Standard 3 – Inspection Program Based on HACCP Principles

- Inspection program focuses on status of risk factors, determine and documents compliance, and targets immediate and long-term correction of out-of-control risk factors through active managerial control

Standard 3 – Inspection Program Based on HACCP Principles

Six Core Criteria

(Page 3-2, Program Standards Manual)

- Inspection Form Design
- Risk Assessment Categories
- Inspection Frequency
- Corrective Action Policy
- Variance Request Policy
- Verification and Validation of HACCP Plan Policy

Standard 3 – Inspection Program Based on HACCP Principles



Step 1: Inspection Form Design

(Page 3-8, Program Standards Manual)

Jurisdiction Name: _____

Criteria	Element	Jurisdiction's Self-Assessment YES	Jurisdiction's Self-Assessment NO	Self-Assessor's General Comments	Auditor's Verification YES	Auditor's Verification NO	If NO, Auditor is to specify why criterion is not met
1. Inspection Form Design	a) The jurisdiction's inspection form identifies foodborne illness risk factors and Food Code interventions						
1. Inspection Form Design	b) The jurisdiction's inspection form documents actual observations using the convention (IN, OUT, NO, and NA).						
1. Inspection Form Design	c) The jurisdiction's inspection form documents compliance and enforcement activities.						
2. Risk Assignment Categories	a) A risk assessment is used to group food establishments into at least 3 categories based on their potential and inherent food safety risks.						
2. Risk Assignment Categories	b) Documentation is provided of performed interventions, action, or activities designed to improve control of foodborne illness risk factors.						
3. Inspection Frequency	a) The jurisdiction's inspection frequency is based on the assigned risk categories.						

Standard 3 – Inspection Program Based on HACCP Principles

Step 1a: Inspection Form Design

(Page 3-4, Program Standards Manual)

- Inspection form prominently identifies **foodborne illness risk factors**
 - Food from Unsafe Sources
 - Poor Personal Hygiene
 - Inadequate Cooking
 - Improper Holding/Time-Temperature Controls
 - Contaminated Equipment/Protection from Contamination

Standard 3 – Inspection Program Based on HACCP Principles

Step 1a: Inspection Form Design

(Page 3-4, Program Standards Manual)

- Inspection form prominently identifies **public health interventions**
 - Demonstration of Knowledge
 - Implementation of Employee Health Policies
 - Prevention of Hands as a Vehicle of Contamination
 - Time-Temperature Relationships
 - Consumer Advisory

Standard 3 – Inspection Program Based on HACCP Principles

Step 1b: Inspection Form Design

(Page 3-4, Program Standards Manual)

- Inspection form documents the **IN, OUT, Not Observed, and Not Applicable** Status for foodborne illness risk factors and public health interventions

Standard 3 – Inspection Program Based on HACCP Principles

Step 1c: Inspection Form Design

(Page 3-4, Program Standards Manual)

- Inspection form documents **compliance and enforcement activities**
 - On-site corrective actions written on inspection report
 - Blank fields for entering compliance action in electronic inspection system (EIS)
 - Canned statements in EIS
 - Planned follow-up inspections

Standard 3 – Inspection Program Based on HACCP Principles

Step 2: Risk Assessment Categories

(Page 3-8, Program Standards Manual)

Jurisdiction Name: _____

Criteria	Element	Jurisdiction's Self-Assessment YES	Jurisdiction's Self-Assessment NO	Self-Assessor's General Comments	Auditor's Verification YES	Auditor's Verification NO	If NO, Auditor is to specify why criterion is not met
1. Inspection Form Design	a) The jurisdiction's inspection form identifies foodborne illness risk factors and Food Code interventions						
1. Inspection Form Design	b) The jurisdiction's inspection form documents actual observations using the convention (IN, OUT, NO, and NA).						
1. Inspection Form Design	c) The jurisdiction's inspection form documents compliance and enforcement activities						
2. Risk Assignment Categories	a) A risk assessment is used to group food establishments into at least 3 categories based on their potential and inherent food safety risks.						
2. Risk Assignment Categories	b) Documentation is provided of performed interventions, action, or activities designed to improve control of foodborne illness risk factors						
3. Inspection Frequency	a) The jurisdiction's inspection frequency is based on the assigned risk categories.						

Standard 3 – Inspection Program Based on HACCP Principles

Step 2: Risk Assessment Categories

(Page 3-4, Program Standards Manual)

- Must have a **written process** for grouping establishments into at least **three (3) risk categories** based on inherent food safety risks
 - Each establishment must be assigned to a category
 - The design of the process and criteria is at the jurisdiction's discretion

FDA Risk Assessment Categories

Annex 5 of the FDA Food Code

Risk Category	Description	Frequency #/Year
1	Examples include most convenience store operations, hot dog carts, and coffee shops. Establishments that serve or sell only pre-packaged, non time/temperature control for safety (TCS) foods. Establishments that prepare only non-TCS foods. Establishments that heat only commercially processed TCS foods for hot holding. No cooling of TCS foods. Establishments that would otherwise be grouped in Category 2 but have shown through historical documentation to have achieved active managerial control of foodborne illness risk factors.	1
2	Examples may include retail food store operations, schools not serving a highly susceptible population, and quick service operations. Most products are prepared/cooked and served immediately. May involve hot and cold holding of TCS foods after preparation or cooking. Complex preparation of TCS foods requiring cooking, cooling, and reheating for hot holding is limited to only a few TCS foods. Establishments that would otherwise be grouped in Category 3 but have shown through historical documentation to have achieved active managerial control of foodborne illness risk factors. Newly permitted establishments that would otherwise be grouped in Category 1 until history of active managerial control of foodborne illness risk factors is achieved and documented.	2
3	An example is a full service restaurant. Extensive menu and handling of raw ingredients. Complex preparation including cooking, cooling, and reheating for hot holding involves many TCS foods. Variety of processes require hot and cold holding of TCS food. Establishments that would otherwise be grouped in Category 4 but have shown through historical documentation to have achieved active managerial control of foodborne illness risk factors. Newly permitted establishments that would otherwise be grouped in Category 2 until history of active managerial control of foodborne illness risk factors is achieved and documented.	3
4	Examples include preschools, hospitals, nursing homes, and establishments conducting processing at retail. Includes establishments serving a highly susceptible population or that conduct specialized processes (i.e. smoking and curing, reduced oxygen packaging for extended shelf-life).	4

Standard 3 – Inspection Program Based on HACCP Principles



Step 3: Inspection Frequency

(Page 3-8, Program Standards Manual)

Jurisdiction Name: _____

Criteria	Element	Jurisdiction's Self-Assessment YES	Jurisdiction's Self-Assessment NO	Self-Assessor's General Comments	Auditor's Verification YES	Auditor's Verification NO	If NO, Auditor is to specify why criterion is not met
1. Inspection Form Design	a) The jurisdiction's inspection form identifies foodborne illness risk factors and Food Code interventions						
1. Inspection Form Design	b) The jurisdiction's inspection form documents actual observations using the convention (IN, OUT, NO, and NA).						
1. Inspection Form Design	c) The jurisdiction's inspection form documents compliance and enforcement activities.						
2. Risk Assignment Categories	a) A risk assessment is used to group food establishments into at least 3 categories based on their potential and inherent food safety risks.						
2. Risk Assignment Categories	b) Documentation is provided of performed interventions, action, or activities designed to improve control of foodborne illness risk factors.						
3. Inspection Frequency	a) The jurisdiction's inspection frequency is based on the assigned risk categories.						

Standard 3 – Inspection Program Based on HACCP Principles

Step 3: Inspection Frequency

(Page 3-2, Program Standards Manual)

- Determine whether routine inspection frequency is **consistent with the jurisdiction's established risk categories**
 - Higher risk category should be assigned a routine inspection frequency greater than establishments in a lower risk category
 - No requirement for a minimum routine inspection frequency

Standard 3 – Inspection Program Based on HACCP Principles



Step 4: Written and Implemented Corrective Action Policy

(Page 3-9, Program Standards Manual)

Criteria	Element	Jurisdiction's Self-Assessment YES	Jurisdiction's Self-Assessment NO	Self-Assessor's General Comments	Auditor's Verification YES	Auditor's Verification NO	If NO, Auditor is to specify why criterion is not met
4. Written and Implemented Corrective Action Policy	a) The jurisdiction has a written and implemented policy that requires on-site corrective actions for foodborne illness risk factors observed to be out of compliance.						
4. Written and Implemented Corrective Action Policy	b) The jurisdiction has a written and implemented policy that requires discussion for long-term control of foodborne illness risk factors.						
4. Written and Implemented Corrective Action Policy	c) The jurisdiction has a written and implemented policy that requires follow-up activities on foodborne illness risk factor violations.						
5. Variance Requests	a) The jurisdiction has a written and implemented policy on variance requests related to foodborne illness risk factors and Food Code interventions.						
6. Verification and Validation of HACCP Plans	a) The jurisdiction has a written and implemented policy for the verification and validation of HACCP plans, when a HACCP plan is required by the Code.						

Standard 3 – Inspection Program Based on HACCP Principles

Step 4a: Review Written & Implemented Corrective Action Policy

(Page 3-2 and 3-3, Program Standards Manual)

- Review **written policy** that requires inspectors to obtain **on-site** corrective actions, appropriate to the type of violation, for **foodborne illness risk factors and public health interventions**
 - Destruction of Food – Extreme Temp. Abuse
 - Embargo/Destruction of Foods from Unapproved Sources
 - Accelerate cooling of foods when cooling time limits can still be met
 - Initiate use of gloves, tongs, or utensils to prevent bare hand contact with ready-to-eat foods
 - Reheating when small deviations for hot holding have occurred

Standard 3 – Inspection Program Based on HACCP Principles

Step 4b: Review Written & Implemented Long-Term Corrective Action Policy

(Page 3-2 and 3-3, Program Standards Manual)

- Review **written policy** that requires inspectors to discuss with operators' various options for long term control of repeated risk factor violations
 - Use of Risk Control Plans
 - Development of Standard Operating Procedures
 - Menu or Product Formulation Modifications
 - Development of Buyer Specifications
 - Training and/or Consultation Inspections

Standard 3 – Inspection Program Based on HACCP Principles

Step 4c: Review Written & Implemented Follow-up on Risk Factor Violations

(Page 3-2, Program Standards Manual)

- Review **written policy** that requires follow-up activities subsequent to violations of foodborne illness risk factors
 - Policy left up to the discretion of the jurisdiction
 - Policies should be specific to events or circumstances which trigger follow-up action
 - Policies must give clear direction as to the appropriate follow-up activity
 - Determine method used to communicate policy to inspection staff

Standard 3 – Inspection Program Based on HACCP Principles



Step 5: Variance Requests

(Page 3-9, Program Standards Manual)

Criteria	Element	Jurisdiction's Self-Assessment YES	Jurisdiction's Self-Assessment NO	Self-Assessor's General Comments	Auditor's Verification YES	Auditor's Verification NO	If NO, Auditor is to specify why criterion is not met
4. Written and Implemented Corrective Action Policy	a) The jurisdiction has a written and implemented policy that requires on-site corrective actions for foodborne illness risk factors observed to be out of compliance.						
4. Written and Implemented Corrective Action Policy	b) The jurisdiction has a written and implemented policy that requires discussion for long-term control of foodborne illness risk factors.						
4. Written and Implemented Corrective Action Policy	c) The jurisdiction has a written and implemented policy that requires follow-up activities on foodborne illness risk factor violations.						
5. Variance Requests	a) The jurisdiction has a written and implemented policy on variance requests related to foodborne illness risk factors and Food Code interventions.						
6. Verification and Validation of HACCP Plans	a) The jurisdiction has a written and implemented policy for the verification and validation of HACCP plans, when a HACCP plan is required by the Code.						

Standard 3 – Inspection Program Based on HACCP Principles

Step 5: Variance Requests

(Page 3-3, Program Standards Manual)

- Review **written policy** addressing code variance requests related to risk factors and interventions
 - Specify the information required
 - Justification for the variance
 - Identify when a HACCP Plan is required
 - Outline criteria for approving variances
 - **Dis-allowing variance requests IS acceptable**

Standard 3 – Inspection Program Based on HACCP Principles

Step 5: Review Variance Requests Policy

- This element may be met if:
 - A written policy exists describing the policy and the required information to be addressed by the requestor;
OR
 - No variance requests related to foodborne illness risk factors or interventions have been received

Standard 3 – Inspection Program Based on HACCP Principles



Step 6: Verification and Validation of HACCP Plans (Page 3-9, Program Standards Manual)

Criteria	Element	Jurisdiction's Self-Assessment YES	Jurisdiction's Self-Assessment NO	Self-Assessor's General Comments	Auditor's Verification YES	Auditor's Verification NO	If NO, Auditor is to specify why criterion is not met
4. Written and Implemented Corrective Action Policy	a) The jurisdiction has a written and implemented policy that requires on-site corrective actions for foodborne illness risk factors observed to be out of compliance.						
4. Written and Implemented Corrective Action Policy	b) The jurisdiction has a written and implemented policy that requires discussion for long-term control of foodborne illness risk factors.						
4. Written and Implemented Corrective Action Policy	c) The jurisdiction has a written and implemented policy that requires follow-up activities on foodborne illness risk factor violations.						
5. Variance Requests	a) The jurisdiction has a written and implemented policy on variance requests related to foodborne illness risk factors and Food Code interventions.						
6. Verification and Validation of HACCP Plans	a) The jurisdiction has a written and implemented policy for the verification and validation of HACCP plans, when a HACCP plan is required by the Code.						

Standard 3 – Inspection Program Based on HACCP Principles

Step 6: Review Verification & Validation of HACCP Plans Policy

- Review **written policy** for validating and verifying HACCP Plans when a plan is required by the jurisdiction's rule or regulation
 - Designate frequency for verification inspections
 - Identify critical areas of the HACCP Plan to be reviewed during the inspection
 - Frequency for validation of the HACCP Plan

Standard 3 – Inspection Program Based on HACCP Principles

Step 6: Review Verification & Validation of HACCP Plans Policy

- This element may be met if:
 - A written policy containing the required element exists;
OR
 - There are no facilities under the jurisdiction's authority performing operations requiring HACCP Plan

Standard 3 – Inspection Program Based on HACCP Principles Self-Assessment Criteria

Jurisdiction demonstrates conformance with ALL the criteria contained in six inspection program categories

Standard 3 – Inspection Program Based on HACCP Principles

Verification Audit Results



Jurisdiction Name: _____

Criteria	Element	Jurisdiction's Self-Assessment YES	Jurisdiction's Self-Assessment NO	Self-Assessor's General Comments	Auditor's Verification YES	Auditor's Verification NO	If NO, Auditor is to specify why criterion is not met
1. Inspection Form Design	a) The jurisdiction's inspection form identifies foodborne illness risk factors and Food Code interventions	X			X		
1. Inspection Form Design	b) The jurisdiction's inspection form documents actual observations using the convention (IN, OUT, NO, and NA).	X			X		
1. Inspection Form Design	c) The jurisdiction's inspection form documents compliance and enforcement activities.	X			X		
2. Risk Assignment Categories	a) A risk assessment is used to group food establishments into at least 3 categories based on their potential and inherent food safety risks.	X			X		
2. Risk Assignment Categories	b) Documentation is provided of performed interventions, action, or activities designed to improve control of foodborne illness risk factors.	X			X		
3. Inspection Frequency	a) The jurisdiction's inspection frequency is based on the assigned risk categories.	X			X		

Participant Manual

Standard 3

Question 1

Standard 3 – Inspection Program Based on HACCP Principles

Six Core Criteria

(Page 3-2, Program Standards Manual)

- Inspection Form Design
- Risk Assessment Categories
- Inspection Frequency
- Corrective Action Policy
- Variance Request Policy
- Verification and Validation of HACCP Plan Policy

Participant Manual

Standard 3

Question 2

Standard 3 – Inspection Program Based on HACCP Principles

Step 1: Inspection Form Design

(Page 3-4, Program Standards Manual)

- Clearly identifies **risk factors and interventions**
- Uses marking conventions **IN, OUT, NO, NA**
- Inspection form documents **compliance and enforcement activities**

Participant Manual

Standard 3

Question 3

Standard 3 – Inspection Program Based on HACCP Principles

- Inspection form documents the **IN, OUT, Not Observed, and Not Applicable** status for foodborne illness risk factors and public health interventions
 - Compliance status using an automated system **may not** default to an IN-compliance choice
 - Some items can be set up to only accept an IN or OUT compliance status selection

Participant Manual

Standard 3

Question 4

Standard 3 – Inspection Program Based on HACCP Principles

Step 2: Risk Assessment Categories

(Page 3-4, Program Standards Manual)

- Must have a **written process** for grouping establishments into at least **three (3) risk categories** based on inherent food safety risks

Participant Manual

Standard 3

Question 5

Standard 3 – Inspection Program Based on HACCP Principles

Step 3: Inspection Frequency

(Page 3-2, Program Standards Manual)

- Determine whether routine inspection frequency is **consistent with the jurisdiction's established risk categories**
 - Higher risk category should be assigned a routine inspection frequency greater than establishments in a lower risk category
 - No requirement for a minimum routine inspection frequency

Participant Manual

Standard 3

Question 6

Standard 3 – Inspection Program Based on HACCP Principles

Step 4: Review Written & Implemented Corrective Action Policy

(Page 3-2 and 3-3, Program Standards Manual)

Written policies that require:

- **On-site** corrective actions, appropriate to the type of violation, for **foodborne illness risk factors and public health interventions**
- Inspectors to discuss with operators' various options for **long-term control** of repeated risk factor violations
- **Follow-up activities** subsequent to violations of foodborne illness risk factors

Participant Manual

Standard 3

Question 7

Standard 3 – Inspection Program Based on HACCP Principles

Step 5: Variance Requests

(Page 3-3, Program Standards Manual)

- Review **written policy** addressing code variance requests related to risk factors and interventions
 - Specify the information required
 - Justification for the variance
 - Identify when a HACCP Plan is required
 - Outline criteria for approving variances
 - **Dis-allowing variance requests IS acceptable**

STANDARD 3 SELF-ASSESSMENT OR VERIFICATION AUDIT PROCESS QUESTIONS



FDA

**U.S. FOOD & DRUG
ADMINISTRATION**

OFFICE OF REGULATORY AFFAIRS

Standard 7 Industry & Community Relations

Conducting the Standard 7 Self-Assessment

Source Documents

- Copy of Program Standard 7
- Clearinghouse Interpretations
- Standard 7: Self-Assessment and Verification Audit Form
- The jurisdiction's records of meetings or other forums conducted to support industry consumer relations
- The jurisdiction's records or examples of educational outreach

Preparing for the Standard 7 Self-Assessment Forms and Worksheets

<http://www.fda.gov/retailprogramstandards>



The screenshot shows the top navigation bar of the FDA website. On the left is the FDA logo and the text "U.S. FOOD & DRUG ADMINISTRATION". On the right are "Search" and "Menu" buttons. Below the navigation bar is a breadcrumb trail: "← Home / Food / Guidance & Regulation (Food and Dietary Supplements) / Retail Food Protection / Voluntary National Retail Food Regulatory Program Standards". The main heading is "Voluntary National Retail Food Regulatory Program Standards". Below the heading are social media sharing buttons for Facebook (Share), Twitter (Tweet), LinkedIn (LinkedIn), Email, and Print.

Standard 7: Industry and Community Relations

- [Standard 7 \(PDF - 98KB\)](#)
- [Standard 7 – Self-Assessment and Verification Audit Form \(PDF - 814KB\)](#)
- [Standard 7 – Self-Assessment Instructions and Worksheet \(PDF - 137KB\)](#)

Standard 7 Industry & Community Relations

Preparing for the
Self Assessment
or
Verification Audit

Standard 7 – Industry and Community Relations

Two Core Criteria

(Pages 7-2, Program Standards Manual)

- Industry and Consumer Interaction
- Educational Outreach

Standard 7 – Industry and Community Relations

Element 1: Industry and Consumer Interaction



(Page 7-7, Program Standards Manual)

Criteria	Element	Jurisdiction's Self-Assessment YES	Jurisdiction's Self-Assessment NO	Self-Assessor's General Comments	Auditor's Verification YES	Auditor's Verification NO	If NO, Auditor is to specify why criterion is not met
1. Industry and Consumer Interaction	The jurisdiction maintains written documentation confirming that the agency has sponsored or actively participated in at least one meeting/forum annually, such as food safety task forces, advisory boards / committees, customer surveys, web-based meetings, or forums. Documentation confirms that offers of participation have been extended to industry and consumer representatives.						

Standard 7 – Industry and Community Relations

The jurisdiction documents:

- Participation in forums that foster communication and information exchange among regulators, industry, and consumers
- Outreach activities that provide education information on food safety

Standard 7 – Industry and Community Relations

Element 1: Industry and Consumer Interaction

(Pages 7-9 and 7-10, Program Standards Manual)

Jurisdiction sponsors or participates in activities **within its regulated community** such as

- Food safety task forces
- Advisory boards or committees
- Other forums on food safety strategies and interventions
- Offers of participation must be extended to industry and consumer representatives
- Use of social media to obtain input on the program

Standard 7 – Industry and Community Relations

Element 2: Educational Outreach



(Pages 7-7, Program Standards Manual)

2. Educational Outreach	The jurisdiction maintains written documentation confirming that the agency has sponsored or coordinated at least one educational outreach activity annually directed at industry, consumer groups, the media, and/or elected officials. Educational outreach activities focus on increasing awareness of foodborne illness risk factors and control methods to prevent foodborne illness and may include industry recognition programs, web sites, newsletters, Fight BAC campaigns, food safety month activities, food worker training and use of oral culture learner materials.						
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Standard 7 – Industry and Community Relations

Element 2: Educational Outreach

(Pages 7-10, Program Standards Manual)

- Target groups encompass industry, consumer groups, media, elected officials
- Activities that increase awareness of risk factors and control methods to prevent foodborne illness
 - Industry recognition programs
 - Web sites, newsletters
 - Social Media
 - Food safety month
 - Food worker training
 - Posting inspection information on website

Standard 7 – Industry and Community Relations

Element 2: Educational Outreach

(Pages 7-10, Program Standards Manual)

Food Safety Bulletin Example

The image shows a sample page from a 'FOOD SAFETY BULLETIN'. At the top left is a logo for 'DEKALB COUNTY BOARD OF HEALTH' featuring a stylized apple. The title 'FOOD SAFETY BULLETIN' is in large red letters, with 'DeKalb County Board of Health' and 'Volume XIV, Issue III Fall 2003' below it. The main heading is 'SPOILAGE' in red. The text explains that food spoilage is a natural process and lists factors like storage temperature and packaging. It includes two small images: one of spoiled food and one of a thermometer. A list of practices to slow food spoilage is provided, such as purchasing from approved sources and using the FIFO system. A 'REMEMBER' section advises using a thermometer and not guessing. A reference is cited at the bottom.

FOOD SAFETY BULLETIN
DeKalb County Board of Health
Volume XIV, Issue III
Fall 2003

SPOILAGE

What is food spoilage? Although the question sounds simple, it's hard to answer. Slimy, smelly or moldy food is more easily recognized as spoiled food. However, are peanuts spoiled if they taste stale? Is meat spoiled if it is darker than normal or if small pock marks are present on the surface of frozen meat? Spoilage is a natural process that occurs at varying rates depending on the storage temperature, kind of food involved, kind of microorganisms present, packaging materials used, food additives used and method of preservation.

Food is considered spoiled when the color, flavor, odor, or texture has changed and has then caused the food to become unattractive. Food spoilage can be caused by naturally occurring enzymes that are found within the food or by adding additives.

Food items that have become spoiled should be separated from the general supply, discarded or destroyed and must not be sold to the public.

By practicing the following you can slow food spoilage:

- Purchase foods from approved sources that maintains adequate temperature control.
- Package the freshest possible product. Utilize the **F.F.O.** (First In, First Out) storing system. *Note: time and date stamping is very useful!
- Use good sanitation and personal hygiene habits when processing and packaging food.
- Use the best possible packaging material for the length of time the food remains acceptable for sale.
- Cool processed or cooked foods as quickly as possible to below 41°F with 4 hours.
- Keep foods covered.

REMEMBER: Use a thermometer to determine the temperature of foods; **don't guess!** Within certain temperature limitations, for every 18 degrees fahrenheit decrease in storage temperature, the shelf life of food will double and your food will spoil slower.

REFERENCE: George Schuler, Dr. William Hirst, Estes Reynolds, revised by P.T. Tybor, 1992. Food Spoilage and You. www.ces.uga.edu/pubcd/9906

Standard 7 – Industry and Community Relations

Element 2: Educational Outreach



(Pages 7-10, Program Standards Manual)

Food Safety Web Site Example

The screenshot shows the DeKalb County Board of Health website. At the top, there is a navigation bar with links for 'Find a Health Center', 'Site Map', 'Live Discussions', and 'Contact Us'. The main header features the DeKalb County Board of Health logo and the title 'DeKalb County Board of Health'. Below the header, there is a banner image of a city skyline at night. To the right of the banner, there is a green box with the text 'Digital Health Department: Putting Health Information At Your Fingertips' and a small icon of a hand holding a device. Below the banner, there is a red navigation bar with links for 'Home', 'Violation Reference', 'Understanding Scores', 'Signup', and 'Help'. The main content area is divided into three columns. The left column is titled 'What's This All About?' and contains text about the public access to health inspections and sanitation grades. The middle column is titled 'User Login' and contains a form with fields for 'Username (Email Address)' and 'Password', and buttons for 'Lost Password' and 'Login'. The right column is titled 'Establishment Search' and contains a form with a 'Keyword(s):' field, a dropdown menu for 'Establishment Name', and a 'Search' button. Below the search form, there is a section titled 'Search by First Letter of Name' with a grid of letters from A to Z. At the bottom of the page, there is a footer with contact information for the DeKalb County Board of Health.

le Edit View Favorites Tools Help

Find a Health Center | Site Map | Live Discussions | Contact Us

 DeKalb County Board of Health

**Digital Health Department:
Putting Health Information
At Your Fingertips**

Receive E-Mail Alerts when your favorite local establishment receives their health inspection. Registration is FREE!

Home Violation Reference Understanding Scores Signup Help

What's This All About?
The DeKalb County Board of Health is now offering to the public - free of charge - access to Health Inspections and Sanitation Grades for all Restaurants, Hotels, Pools and other Food Handling Establishments in the County.

If you choose to create an account with us, you can select the establishments you wish to be notified of and when those establishments receive a Health Inspection we will email you the results of the inspection.

[Create Account >>](#)

User Login
Enter your username and password below and click "Login" to login. If you have lost your password enter your email address and click "Lost Password" to have your password sent to your registration account.

Username (Email Address):

Password:

Establishment Search
Select criteria below to find the most recent Health Inspection for your favorite restaurant.

Keyword(s):

Establishment Name

[How to use this site >>](#)

Search by First Letter of Name
Click on a letter below to view a list of local establishments whose name begins with that letter.

1	2	3	5	8	A	B	C	D	E
F	G	H	I	J	K	L	M	N	O
P	Q	R	S	T	U	V	W	X	Y
Z									

[How to use this site >>](#)

DeKalb County Board of Health • 445 Winn Way • Decatur, GA 30030 • (404) 294-3700 • Phone response available 24/7

Standard 7 – Industry and Community Relations

Element 2: Educational Outreach

Self-Assessment Worksheet



(Pages 7-12, Program Standards Manual)

PART II-Educational Outreach

Dates	Summary of Activities



Standard 7 – Industry and Community Relations Verification Audit Results

(Pages 7-7, Program Standards Manual)

Criteria	Element	Jurisdiction's Self-Assessment YES	Jurisdiction's Self-Assessment NO	Self-Assessor's General Comments	Auditor's Verification YES	Auditor's Verification NO	If NO, Auditor is to specify why criterion is not met
1. Industry and Consumer Interaction	The jurisdiction maintains written documentation confirming that the agency has sponsored or actively participated in at least one meeting/forum annually, such as food safety task forces, advisory boards / committees, customer surveys, web-based meetings, or forums. Documentation confirms that offers of participation have been extended to industry and consumer representatives.	X			X		
2. Educational Outreach	The jurisdiction maintains written documentation confirming that the agency has sponsored or coordinated at least one educational outreach activity annually directed at industry, consumer groups, the media, and/or elected officials. Educational outreach activities focus on increasing awareness of foodborne illness risk factors and control methods to prevent foodborne illness and may include industry recognition programs, web sites, newsletters, Fight BAC campaigns, food safety month activities, food worker training and use of oral culture learner materials.	X			X		

Participant Manual

Standard 7

Question 1

Page 33

Standard 7 – Industry and Community Relations

Two Core Criteria

(Pages 7-2, Program Standards Manual)

- Industry and Consumer Interaction
- Educational Outreach

Participant Manual

Standard 7

Question 2

Page 33

Standard 7 – Industry and Community Relations

Element 1: Industry and Consumer Interaction

(Pages 7-9 and 7-10, Program Standards Manual)

Jurisdiction sponsors or participates in activities **within its regulated community** such as

- Food safety task forces
- Advisory boards or committees
- Other forums on food safety strategies and interventions
- Offers of participation must be extended to industry and consumer representatives
- Use of social media to obtain input on the program

Participant Manual

Standard 7

Question 3

Page 33

Standard 7 – Industry and Community Relations

(Pages 7-2, Program Standards Manual)

YES, if Each year the jurisdiction:

- Sponsors or participates in at least one regulatory, industry, consumer forum that has direct impact on their regulatory retail food program
- Sponsors, conducts, or participates in at least one educational outreach activity

STANDARD 7 SELF-ASSESSMENT OR VERIFICATION AUDIT PROCESS QUESTIONS



Standard 5
Foodborne Illness & Food Defense
Preparedness and Response

Preparing for the
Self Assessment
or
Verification Audit

Preparing for the Standard 5 Self-Assessment

Source Documents

- Copy of Program Standard 5
- Clearinghouse Interpretations
- Standard 5 – Self-Assessment and Verification Audit Form
- The jurisdiction's manuals, procedures, directives, and/or inter-agency correspondence related to foodborne illness/food defense investigations
- MOUs and or cooperative agreements the jurisdiction has in place with other agencies that identifies specific roles/responsibilities related to foodborne illness/food defense investigations

Preparing for the Standard 5 Self-Assessment

Source Documents

- Foodborne illness/food defense complaint log or database
- The jurisdiction's guidance for collecting information on suspected foods; case history forms; lab notification for samples; and list of materials included in the agency's Foodborne Illness Investigation Kit
- Documentation of foodborne illness/food defense investigation staff training
- Description of the support services that will be provided by each laboratory and the types of food adulterants that can be identified

Preparing for the Standard 5 Self-Assessment

Source Documents

- Contact lists identifying specific laboratories based on the type of suspected pathogens or adulterants (biological, chemical, and radiological agents)
- Contact lists identifying specific laboratories for food, environmental, and clinical sample analyses
- Written traceback procedures or description of the jurisdiction's role in tracebacks
- Written recall procedures or description of the jurisdiction's role during product recalls

Preparing for the Standard 5 Self-Assessment Source Documents

- Written protocol for developing and disseminating information to the media and public
- Annual trend analysis report that covers the nine categories described in the Standard 5 criteria

Preparing for the Standard 5 Self-Assessment Forms and Worksheets

<http://www.fda.gov/retailprogramstandards>

The screenshot shows the top navigation bar of the FDA website. On the left is the FDA logo and the text "U.S. FOOD & DRUG ADMINISTRATION". On the right are "Search" and "Menu" buttons. Below the navigation bar is a breadcrumb trail: "← Home / Food / Guidance & Regulation (Food and Dietary Supplements) / Retail Food Protection / Voluntary National Retail Food Regulatory Program Standards". The main heading is "Voluntary National Retail Food Regulatory Program Standards". Below the heading are social sharing buttons for Facebook (Share), Twitter (Tweet), LinkedIn (LinkedIn), Email, and Print.

Standard 5: Foodborne Illness and Food Defense Preparedness and Response

- [Standard 5 \(PDF - 109KB\)](#)
- [Standard 5 – Self-Assessment and Verification Audit Form \(PDF - 972KB\)](#)

Standard 5
Foodborne Illness & Food Defense
Preparedness and Response

Conducting the
Self Assessment
or
Verification Audit

Standard 5 – Foodborne Illness & Food Defense Preparedness and Response

The program has an established system to detect, collect, investigate and respond to complaints and emergencies that involve foodborne illness, injury, and intentional and unintentional food contamination.

Standard 5 – Foodborne Illness & Food Defense

Preparedness and Response

Seven Core Criteria

(Page 5-8, Program Standards Manual)

- Investigative Procedures
 - Written Operating Procedure
 - Document/Responding to Complaints/Incidences
 - Complaint/Incident Investigation Procedures
- Reporting Procedures
- Laboratory Support Documentation
- Trace-back Procedures
- Recalls
- Media Management
- Data Review and Analysis

Standard 5 – Foodborne Illness & Food Defense

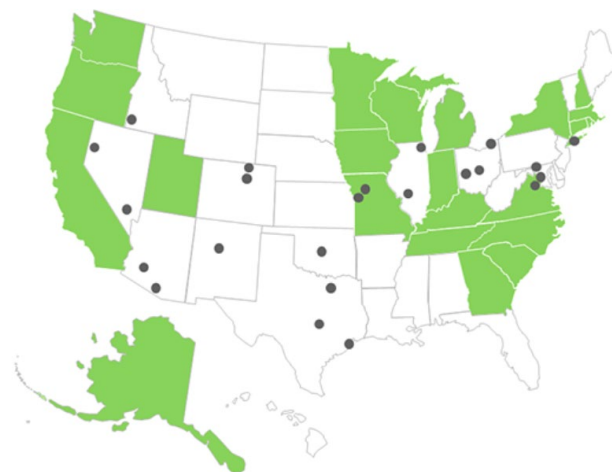
Preparedness and Response

NEARS – Voluntary Participation Encouraged

(Page 5-4 and 5-5, Program Standards Manual)

- CDC National Environmental Assessment Reporting System (NEARS)
- NEARS is designed to provide a comprehensive approach to foodborne outbreak investigation and response
- Data source to measure the impact of food safety program to further cause and prevention research
- 23 states and 23 local HDs enrolled

<http://www.cdc.gov/nceh/ehs/nears>



Standard 5 – Foodborne Illness & Food Defense Preparedness and Response Available Resource – CIFOR Toolkit

- Description of major functions in outbreak response,
- Specific practices to improve outbreak response, and
- Performance indicators to determine effectiveness of activities.
- Does not provide instructions for implementing any recommendation.
- Toolkit available www.CIFOR.us





Standard 5 – Foodborne Illness & Food Defense Preparedness and Response

(Page 5-9 thru 5-11, Program Standards Manual)

Jurisdiction Name: _____

Criteria	Element	Jurisdiction's Self-Assessment YES	Jurisdiction's Self-Assessment NO	Self-Assessor's General Comments	Auditor's Verification YES	Auditor's Verification NO	If NO, Auditor is to specify why criterion is not met
1. Investigation Procedures	a) The program has written operating procedures for responding to and/or conducting investigations of foodborne illness and food-related injury that clearly identify the roles, duties, and responsibilities of program staff and how the program interacts with other relevant departments and agencies. (The procedures may be contained in a single source document or in multiple documents.)						
1. Investigation Procedures	b) The program maintains contact lists for individuals, departments, and agencies that may be involved in the investigation of foodborne illnesses, food-related injuries, or contamination of food.						

Standard 5 – Foodborne Illness & Food Defense

Preparedness and Response

Step 1: Investigative Procedures (a – c)

(Page 5-2, Program Standards Manual)

- a. Written procedures for response & investigation, identifying roles & responsibilities
- b. Maintain contact lists
- c. Written procedures or MOUs depts./programs/agencies

Standard 5 – Foodborne Illness & Food Defense

Preparedness and Response

Step 1: Investigative Procedures (d – f)

(Page 5-2, Program Standards Manual)

- d. Database or log of complaints
- e. Procedure for complaint disposition or referral
- f. Disposition/Action/Follow up conducted **within 24 hrs.** for food-related illness or injury complaints - proper linkage to file

Standard 5 – Foodborne Illness & Food Defense

Preparedness and Response

Step 1: Investigative Procedures (g – i)

(Page 5-2 and 5-3, Program Standards Manual)

- g. Procedures/guidance for collecting information on suspect food(s)/procedures during investigations
- h. Procedures for immediate notification of law enforcement official when intentional food contamination incidences are suspected
- i. Procedure for complaint referrals to other agencies having jurisdiction

Standard 5 – Foodborne Illness & Food Defense

Preparedness and Response

Step 2: Reporting Procedures (a – b)

(Page 5-11 and 5-12, Program Standards Manual)

Criteria	Element	Jurisdiction's Self-Assessment YES	Jurisdiction's Self-Assessment NO	Self-Assessor's General Comments	Auditor's Verification YES	Auditor's Verification NO	If NO, Auditor is to specify why criterion is not met
2. Reporting Procedures	a) Possible contributing factors to the illness, food-related injury, or intentional food contamination are identified in each on-site investigation report.						
2. Reporting Procedures	b) The program shares final reports of investigations with the state epidemiologist and reports of confirmed disease outbreaks with CDC.						

Standard 5 – Foodborne Illness & Food Defense

Preparedness and Response

Step 2: Reporting Procedures (a – b)

(Page 5-2, Program Standards Manual)

- a. Contributing Factors identified in each on-site investigation report

- b. Report shared with state epi and CDC
 - Required for all “confirmed foodborne disease outbreaks”

Standard 5 – Foodborne Illness & Food Defense Preparedness and Response



Step 3: Laboratory Support Documentation (a – b) (Page 5-12, Program Standards Manual)

Criteria	Element	Jurisdiction's Self-Assessment YES	Jurisdiction's Self-Assessment NO	Self-Assessor's General Comments	Auditor's Verification YES	Auditor's Verification NO	If NO, Auditor is to specify why criterion is not met
2. Reporting Procedures	b) The program shares final reports of investigations with the state epidemiologist and reports of confirmed disease outbreaks with CDC.						
3. Laboratory Support Documentation	a) The program has a letter of understanding, written procedures, contract, or MOU acknowledging that a laboratory(s) is willing and able to provide analytical support to the jurisdiction's food program. The documentation describes the type of biological, chemical, radiological, contaminants or other food adulterants that can be identified by the laboratory. The laboratory support available includes the ability to conduct environmental, food, and/or clinical sample analyses.						
3. Laboratory Support Documentation	b) The program maintains a list of alternative laboratory contacts from which assistance could be sought in the event that a food-related emergency exceeds the capability of the primary support lab(s) identified in paragraph 3.a. This list should also identify potential sources of laboratory support such as FDA, USDA, CDC, or environmental laboratories for specific analysis that cannot be performed by the jurisdiction's primary laboratory(s).						

Standard 5 – Foodborne Illness & Food Defense

Preparedness and Response

Step 3: Laboratory Support Documentation (a – b)

(Page 5-3, Program Standards Manual)

- a. Written description or MOU of capabilities
 - In-house or external
 - Pathogens, agents, adulterants that can be identified
 - Environmental, food, clinical analysis
- b. Network is established when the state or local lab has limitations in-house

Preparedness and Response Step 4: Trace-back Procedures (a) (Page 5-13, Program Standards Manual)

Criteria	Element	Jurisdiction's Self-Assessment YES	Jurisdiction's Self-Assessment NO	Self-Assessor's General Comments	Auditor's Verification YES	Auditor's Verification NO	If NO, Auditor is to specify why criterion is not met
4. Trace-Back Procedures	a) Program management has an established procedure to address the trace-back of foods implicated in an illness, outbreak, or intentional food contamination. The trace-back provides for the coordinated involvement of all appropriate agencies and identifies a coordinator to guide the investigation. Trace-back reports are shared with all agencies involved and with CDC.						
5. Recalls	a) Program management has an established procedure to address the recall of foods implicated in an illness, outbreak, or intentional food contamination.						
5. Recalls	b) When the jurisdiction has the responsibility to request or monitor a product recall, written procedures equivalent to 21 CFR Part 7 are followed.						
5. Recalls	c) Written policies and procedures exist for verifying the effectiveness of recall actions by firms (effectiveness checks) when requested by another agency.						

Standard 5 – Foodborne Illness & Food Defense

Preparedness and Response

Step 4: Trace-back Procedures (a)

(Page 5-3, Program Standards Manual)

Written trace-back procedures for implicated foods should include:

- Description of coordinated involvement of appropriate agencies
- Identification of a coordinator
- Report sharing with involved agencies & CDC

Standard 5 – Foodborne Illness & Food Defense

Preparedness and Response

Step 5: Recalls (a-c)



Criteria	Element	Jurisdiction's Self-Assessment YES	Jurisdiction's Self-Assessment NO	Self-Assessor's General Comments	Auditor's Verification YES	Auditor's Verification NO	If NO, Auditor is to specify why criterion is not met
4. Trace-Back Procedures	a) Program management has an established procedure to address the trace-back of foods implicated in an illness, outbreak, or intentional food contamination. The trace-back provides for the coordinated involvement of all appropriate agencies and identifies a coordinator to guide the investigation. Trace-back reports are shared with all agencies involved and with CDC.						
5. Recalls	a) Program management has an established procedure to address the recall of foods implicated in an illness, outbreak, or intentional food contamination.						
5. Recalls	b) When the jurisdiction has the responsibility to request or monitor a product recall, written procedures equivalent to 21 CFR Part 7 are followed.						
5. Recalls	c) Written policies and procedures exist for verifying the effectiveness of recall actions by firms (effectiveness checks) when requested by another agency.						

Standard 5 – Foodborne Illness & Food Defense

Preparedness and Response

Step 5: Recalls (a – c)

(Page 5-3 and 5-4, Program Standards Manual)

- a. Established recall procedure based on illness/injury investigation
- b. If jurisdiction initiates recalls, written procedures equivalent to 21 CFR, Part 7
- c. Written policies/procedures for verifying the effectiveness of recall actions by firms (effectiveness checks)

Standard 5 – Foodborne Illness & Food Defense

Preparedness and Response

Step 5: Recalls (b) – Summary 21 CFR Part 7

State coordinated recall procedures should include:

- Process for determining the hazard posed by a product and relative risk to public
- Process for working with the industry on development of voluntary recall notices / obtaining distribution points
- Coordinating/Conducting Effectiveness Checks
- Roles/Responsibilities (regulatory staff; industry involved with recall & media PIOs)

Standard 5 – Foodborne Illness & Food Defense

Preparedness and Response Step 6: Media Management (a) (Page 5-14, Program Standards Manual)

Criteria	Element	Jurisdiction's Self-Assessment YES	Jurisdiction's Self-Assessment NO	Self-Assessor's General Comments	Auditor's Verification YES	Auditor's Verification NO	If NO, Auditor is to specify why criterion is not met
6. Media Management	a) The program has a written policy and procedure that defines a protocol for providing information to the public regarding a foodborne illness outbreak or food safety emergency. The protocol should address coordination and cooperation with other agencies involved in the investigation. A media person is designated in the protocol.						
7. Data Review and Analysis	a) At least once per year, the program conducts a review of the data in the complaint log or database and the illness and food-related injury investigations to identify trends and possible contributing factors that are most likely to cause illness or injury. These periodic reviews of multiple complaints and contributing factors may suggest a need for further investigations may suggest steps for illness prevention.						

Standard 5 – Foodborne Illness & Food Defense

Preparedness and Response

Step 6: Media Management (a)

Written policy and procedure that:

- Identifies a media person (Public Information Officer)
- Defines protocol for providing information to the public
- Addresses coordination/cooperation with other agencies involved in the investigation

Standard 5 – Foodborne Illness & Food Defense

Preparedness and Response

Step 7: Data Review and Analysis (a – c)

(Page 5-14 thru 5-16, Program Standards Manual)

Criteria	Element	Jurisdiction's Self-Assessment YES	Jurisdiction's Self-Assessment NO	Self-Assessor's General Comments	Auditor's Verification YES	Auditor's Verification NO	If NO, Auditor is to specify why criterion is not met
7. Data Review and Analysis	a) At least once per year, the program conducts a review of the data in the complaint log or database and the illness and food-related injury investigations to identify trends and possible contributing factors that are most likely to cause illness or injury. These periodic reviews of multiple complaints and contributing factors may suggest a need for further investigations may suggest steps for illness prevention.						
7. Data Review and Analysis	b) The review is conducted with prevention in mind and focuses on, but is not limited to, the following: 1) Multiple complaints on the same establishment;						
7. Data Review and Analysis	2) Multiple complaints on the same establishment type;						
7. Data Review and Analysis	3) Multiple complaints implicating the same food;						

Standard 5 – Foodborne Illness & Food Defense

Preparedness and Response

Step 7: Data Review and Analysis (a)

(Page 5-4, Program Standards Manual)

- a. Annual review of the complaint log/data base to identify trends in:
 - Food products
 - Food processes
 - Contributing factors

Preparedness and Response

Step 7: Data Review and Analysis (b)

(Page 5-4, Program Standards Manual)

b. Identify Multiple Complaints...

1. On the same establishment
2. Same establishment type
3. Implicating same food
4. Associated with similar food preparation processes

Standard 5 – Foodborne Illness & Food Defense

Preparedness and Response

Step 7: Data Review and Analysis (b)

(Page 5-4, Program Standards Manual)

b. Data Review cont'd

5. Laboratory-confirmed or epi-linked food- related outbreaks
6. Foodborne disease outbreaks and suspect foodborne disease outbreaks
7. Contributing factors most often identified
8. Complaints involving real & alleged threats of intentional food contamination
9. Complaints involving the same agent (or any complaints of unusual agents)

Preparedness and Response

Step 7: Data Review and Analysis (c)

(Page 5-4, Program Standards Manual)

- c. If no outbreak investigation conducted within last 12 months, a mock foodborne illness/defense exercise must be conducted.

Standard 5 – Foodborne Illness & Food Defense

Preparedness and Response

Self-Assessment/Verification Audit Criteria

(Page 5-5, Program Standards Manual)

Jurisdiction demonstrates conformance with ALL seven criteria contained in the foodborne illness and food defense preparedness and response categories

Standard 5 – Foodborne Illness & Food Defense Preparedness and Response Verification Audit Results



(Page 5-9 thru 5-16, Program Standards Manual)

Jurisdiction Name: _____

Criteria	Element	Jurisdiction's Self-Assessment YES	Jurisdiction's Self-Assessment NO	Self-Assessor's General Comments	Auditor's Verification YES	Auditor's Verification NO	If NO, Auditor is to specify why criterion is not met
1. Investigation Procedures	a) The program has written operating procedures for responding to and/or conducting investigations of foodborne illness and food-related injury that clearly identify the roles, duties, and responsibilities of program staff and how the program interacts with other relevant departments and agencies. (The procedures may be contained in a single source document or in multiple documents.)	X			X		
1. Investigation Procedures	b) The program maintains contact lists for individuals, departments, and agencies that may be involved in the investigation of foodborne illnesses, food-related injuries, or contamination of food.	X			X		

Participant Manual

Standard 5

Question 1

Page 25

Standard 5 – Foodborne Illness & Food Defense

Preparedness and Response

Seven Core Criteria

(Page 5-8, Program Standards Manual)

- Investigative Procedures
 - Written Operating Procedure
 - Document/Responding to Complaints/Incidences
 - Complaint/Incident Investigation Procedures
- Reporting Procedures
- Laboratory Support Documentation
- Trace-back Procedures
- Recalls
- Media Management
- Data Review and Analysis

Participant Manual

Standard 5

Question 2

Page 26

Standard 5 – Foodborne Illness & Food Defense

Preparedness and Response

Step 1: Investigative Procedures (a – c)

(Page 5-2, Program Standards Manual)

- a. Written procedures for response & investigation, identifying roles & responsibilities
- b. Maintain contact lists
- c. Written procedures or MOUs depts./programs/agencies

Standard 5 – Foodborne Illness & Food Defense

Preparedness and Response

Step 1: Investigative Procedures (d – f)

(Page 5-2, Program Standards Manual)

- d. Database or log of complaints
- e. Procedure for complaint disposition or referral
- f. Disposition/Action/Follow conducted **within 24 hrs.** for food-related illness or injury complaints
- proper linkage to file

Standard 5 – Foodborne Illness & Food Defense

Preparedness and Response

Step 1: Investigative Procedures (g – i)

(Page 5-2 and 5-3, Program Standards Manual)

- g. Procedures/guidance for collecting information on suspect food(s)/procedures during investigations
- h. Procedures for immediate notification of law enforcement official when intentional food contamination incidences are suspected
- i. Procedure for complaint referrals to other agencies having jurisdiction

Participant Manual

Standard 5

Question 3

Page 26

Standard 5 – Foodborne Illness & Food Defense

Preparedness and Response

Step 2: Reporting Procedures (a – b)

(Page 5-2, Program Standards Manual)

- a. Contributing Factors identified in each on-site investigation report

- b. Report shared with state epi and CDC
 - Required for all “confirmed foodborne disease outbreaks”

Participant Manual

Standard 5

Question 4

Page 26

Standard 5 – Foodborne Illness & Food Defense

Preparedness and Response

Step 3: Laboratory Support Documentation (a – b)

(Page 5-3, Program Standards Manual)

- a. Written description or MOU of capabilities
 - In-house or external
 - Pathogens, agents, adulterants that can be identified
 - Environmental, food, clinical analysis
- b. Network is established when the state or local lab has limitations in-house

Participant Manual

Standard 5

Question 5

Page 26

Standard 5 – Foodborne Illness & Food Defense

Preparedness and Response

Step 4: Trace-back Procedures (a)

(Page 5-3, Program Standards Manual)

Written trace-back procedures for implicated foods should include:

- Description of coordinated involvement of appropriate agencies
- Identification of a coordinator
- Report sharing with involved agencies & CDC

Participant Manual

Standard 5

Question 6

Page 26

Standard 5 – Foodborne Illness & Food Defense

Preparedness and Response

Step 5: Recalls (a – c)

(Page 5-3 and 5-4, Program Standards Manual)

- a. Established recall procedure based on illness/injury investigation
- b. If jurisdiction initiates recalls, written procedures equivalent to 21 CFR, Part 7
- c. Written policies/procedures for verifying the effectiveness of recall actions by firms (effectiveness checks)

Participant Manual

Standard 5

Question 7

Page 28

Standard 5 – Foodborne Illness & Food Defense

Preparedness and Response

Step 5: Recalls (b) – Summary 21 CFR Part 7

State coordinated recall procedures should include:

- Process for determining the hazard posed by a product and relative risk to public
- Process for working with the industry on development of voluntary recall notices / obtaining distribution points
- Coordinating/Conducting Effectiveness Checks
- Roles/Responsibilities (regulatory staff; industry involved with recall & media PIOs)

Participant Manual

Standard 5

Question 8

Page 27

Preparedness and Response

Step 7: Data Review and Analysis (b)

(Page 5-4, Program Standards Manual)

b. Identify Multiple Complaints...

1. On the same establishment
2. Same establishment type
3. Implicating same food
4. Associated with similar food preparation processes

Preparedness and Response

Step 7: Data Review and Analysis (b)

(Page 5-4, Program Standards Manual)

b. Identify Multiple Complaints...

5. Laboratory-confirmed or epi-linked food- related outbreaks
6. Foodborne disease outbreaks and suspect foodborne disease outbreaks
7. Contributing factors most often identified
8. Complaints involving real & alleged threats of intention food contamination
9. Complaints involving the same agent (or any complaints of unusual agents)

Participant Manual

Standard 5

Question 9

Page 27

Standard 5 – Foodborne Illness & Food Defense

Preparedness and Response

Step 7: Data Review and Analysis (c)

(Page 5-4, Program Standards Manual)

- c. If no outbreak investigation conducted within last 12 months, a mock foodborne illness/defense exercise must be conducted.

STANDARD 5 SELF-ASSESSMENT OR VERIFICATION AUDIT PROCESS QUESTIONS



Standard 8

Program Support and Resources

Preparing for the Self-Assessment or Verification Audit

The retail food protection program is provided the funding, staff, and equipment necessary to accomplish compliance with the *Voluntary National Retail Food Regulatory Program Standards*

Conducting the Standard 8 Self-Assessment

Source Documents

- Copy of Program Standard 8
- Clearinghouse Interpretations
- Standard 8: Self-Assessment and Verification Audit Form
- Document of FTE to inspection ratios
 - Option 1: Assessment
 - Option 2: Alternative Model
- Inventory of assigned and available inspection equipment
- Documentation and demonstration of records system and adequacy of support
- The completed Standard 8 Self-Assessment Worksheet

Alternative Staffing Level Resource

Conference for Food Protection

<http://www.foodprotect.org/guides-documents/alternative-standard-8-workbook-2023/>

Alternative Standard 8 Workbook 2023

[/ Home](#) / [Guides and Documents](#) / [Details](#)

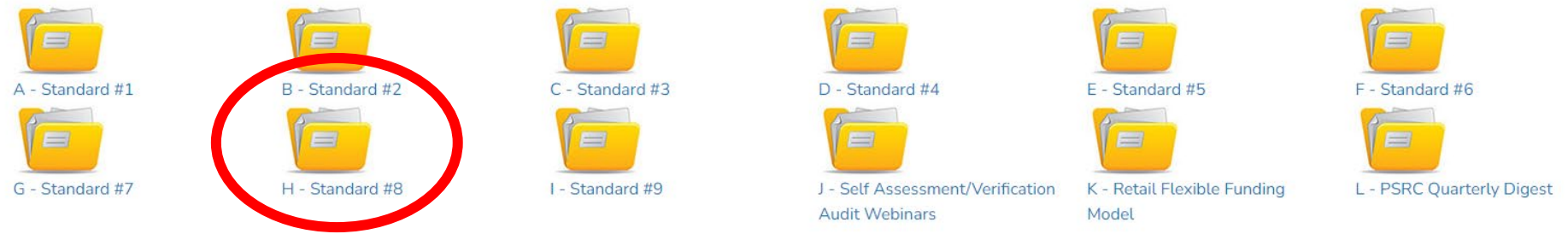
This workbook can be used to measure current or proposed staffing levels for assessment of conformance with Standard 8.

- [Alternative S8 Workbook CFP Instructions](#)
- [Alternative S8 Workbook Model_3_4 Risk Codes_2022 - single document](#)
- [Alternative S8 Workbook Model_3_4 Risk Codes_2022 - page 1](#)
- [Alternative S8 Workbook Model_3_4 Risk Codes_2022 - page 2](#)
- [Alternative S8 Workbook Model_3_4 Risk Codes_2022 - page 3](#)

Alternative Staffing Level Resources

Program Standards Resource Center

Folders:



File	Author	Version	Date	
↑ Up Folder...				
Standard-8-ResourceAssessmentWorkbookBRHD.xlsx	VICTORIA TOURVILLE	11/16/2023	11/16/23	
Methodology for Calculating the Adequacy of Staffi	Robert Custard	04/01/2023	07/10/23	
Alternative S8 Workbook Instructions.pdf	Deanna Copeland	07/07/23	07/07/23	
Alternative S8 Workbook Model_6Risk Codes_2022.xls	Deanna Copeland	07/07/23	07/07/23	
Alternative S8 Workbook Model_3-4 Risk Codes_2022.	Deanna Copeland	06/09/2022	06/09/22	
Standard 8 Auditors Template Tool.docx	Cyndi Free	12/02/2020	12/02/20	
Calculations of FTE.xlsx	Amber Potts	07/02/2018	07/27/20	



Showing 1 to 8 of 8 entries

Preparing for the Standard 8 Self-Assessment Forms and Worksheets

<http://www.fda.gov/retailprogramstandards>

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Voluntary National Retail Food Regulatory Program Standards

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Standard 8: Program Support and Resources

- [Standard 8 \(PDF: 111KB\)](#)
- [Standard 8 – Self-Assessment and Verification Audit Form \(PDF: 883KB\)](#)
- [Standard 8 – Self-Assessment Instructions and Worksheet \(PDF: 706KB\)](#)
- [Standard 8 – Staffing Level \(FTE to Inspection Ratio\) Assessment Workbook Instruction Guide](#) [↗](#)
- [Standard 8 – Staffing Level \(FTE to Inspection Ratio\) Assessment Workbook](#) [↗](#)

Standard 8 Program Support and Resources

Conducting the Self-Assessment or Verification Audit

(Pages 8-1 thru 8-15, Standards Manual)

Standard 8 – Program Support and Resources

Four Core Criteria

(Pages 8-2 thru 8-4, Program Standards Manual)

- Staff level per food inspections performed
- Availability of food inspection equipment
- Administrative Program Support
- Program resource (budget, staff, equipment) assessment for each Standard

Standard 8 – Program Support and Resources

Step 1: Staffing Level – FTEs per Inspections Performed



(Page 8-8, Program Standards Manual)

Criteria	Element	Jurisdiction's Self-Assessment YES	Jurisdiction's Self-Assessment NO	Self-Assessor's General Comments	Auditor's Verification YES	Auditor's Verification NO	If NO, Auditor is to specify why criterion is not met
1. Staffing Level	<p>a) The jurisdiction has written documentation, calculations, or a program resource assessment that demonstrates a staffing level of one FTE for every 280-320 retail food program inspections performed or the staffing level set by the jurisdiction.</p> <p>Note: The jurisdiction may use an alternative for determining and calculating staffing level. It should be indicated within the Self-Assessment General Comments section.</p>						

Participant Manual

Standard 8

Question 2

Page 34

Standard 8 - Program Support & Resources

Example: Inspections-to-FTE Ratio

(Page 8-12, Program Standards Manual)

- Assuming 40-hour work week/52 weeks
2080 Total Available
 - Less 48 hrs. for Holidays
 - Less 40 hrs. for Vacation Time
 - Less 16 hrs. for Sick Leave
 - Less 488 hrs. for Travel Time to and from facilities
 - Less 24 hrs. for Personal Training
 - Less 244 hrs. for Admin/Office Time
- Leaving 1220 Productive Hours – FTE Conversion Factor**

Participant Manual

Standard 8

Questions 3 and 4

Pages 34-35

Standard 8 - Program Support & Resources

Basic Example: Calculating Current FTEs

Position	Portion of Productive Time Spent in Retail Food Inspections	Number of Employees	Total Hours Spent in Retail Food Inspection
Three people full-time in retail food inspection	1220	X 3	= 3660
Three inspectors devoted half-time to retail food inspection	$1220/2 = 610$	X 3	= 1830
One supervisor who devotes 1/3 of time to compliance inspections	$1220/3 = 407$	X 1	= 407
Total Hours Spent in Retail Food	5897		
Divided by Conversion Factor	1220		
Total FTE	4.8		

Participant Manual

Standard 8

Question 5

Pages 35

Standard 8 – Program Support and Resources

Basic Example: Inspections-to-FTE Ratio

Assuming 1440 Inspections

Example

1440 inspections ÷ 4.8 FTEs =

300 inspections/FTE

To meet the Standard 8 criteria the ratio must fall between

280 and 320 inspections per FTE

Standard 8 – Program Support and Resources

Step 2: Inspection Equipment



(Page 8-8, Program Standards Manual)

Criteria	Element	Jurisdiction's Self-Assessment YES	Jurisdiction's Self-Assessment NO	Self-Assessor's General Comments	Auditor's Verification YES	Auditor's Verification NO	If NO, Auditor is to specify why criterion is not met
2. Inspection Equipment	a) The jurisdiction can show through written records, equipment inventories, or actual observations that each retail food program inspector has a head cover, thermocouple, flashlight, sanitization test kit, heat sensitive tapes or maximum registering thermometer, and necessary forms and administrative materials.						
2. Inspection Equipment	b) The jurisdiction has written procedures for obtaining the use of computers, cameras, black lights, pH meters, foodborne illness kits, sample collection kits, data loggers, and cell phones should this equipment not be part of the agency's general inventory.						

Standard 8 – Program Support and Resources

Step 2: Inspection Equipment

(Page 8-8 & 8-12, Program Standards Manual)

Inspection equipment for each inspector

- head covers
- thermocouples
- flashlights
- sanitization test kits
- heat sensitive tapes
- forms & administrative material

Standard 8 – Program Support and Resources

Step 2: Inspection Equipment

(Page 8-8 & 8-12, Program Standards Manual)

Food inspection equipment AVAILABLE to staff for use when needed

- computers and cameras
- black lights and light meters
- pH meters
- foodborne illness investigation kits
- sample collection kits
- data loggers
- cell phones

Standard 8 – Program Support and Resources

Step 3: Administrative Program Support



(Page 8-9 & 8-13, Program Standards Manual)

Criteria	Element	Jurisdiction's Self-Assessment YES	Jurisdiction's Self-Assessment NO	Self-Assessor's General Comments	Auditor's Verification YES	Auditor's Verification NO	If NO, Auditor is to specify why criterion is not met
3. Administrative Program Support	a) The jurisdiction has written documentation, calculations, or a program resource assessment that demonstrates sufficient equipment is available to support the record keeping system utilized by the program.						
3. Administrative Program Support	b) The jurisdiction has a system in place to collect, analyze, retain, and report pertinent information required to manage and implement the program.						

Standard 8 – Program Support and Resources

Step 3: Administrative Program Support

(Page 8-13, Program Standards Manual)

Equipment and administrative staff to ensure:

- a system to collect, analyze, retain and report pertinent information
- computers, software and/or items to support the record keeping system utilized by the program

Standard 8 – Program Support and Resources

Step 4: Program Resource Assessment



(Page 8-9 and 8-10, Program Standards Manual)

Criteria	Element	Jurisdiction's Self-Assessment YES	Jurisdiction's Self-Assessment NO	Self-Assessor's General Comments	Auditor's Verification YES	Auditor's Verification NO	If NO, Auditor is to specify why criterion is not met
4. Program Resource Assessment	a) The jurisdiction has conducted an assessment to determine if the agency has the budget, staffing, and equipment necessary to meet Standard #1 - Regulatory Foundation.						
4. Program Resource Assessment	b) The jurisdiction has conducted an assessment to determine if the agency has the budget, staffing, and equipment necessary to meet Standard #2 - Trained Regulatory Staff.						
4. Program Resource Assessment	c) The jurisdiction has conducted an assessment to determine if the agency has the budget, staffing, and equipment necessary to meet Standard #3 - Inspection Program Based on HACCP Principles.						
4. Program Resource Assessment	d) The jurisdiction has conducted an assessment to determine if the agency has the budget, staffing, and equipment necessary to meet Standard #4 - Uniform Inspection Program.						

Standard 8 – Program Support and Resources

Step 4: Program Resource Assessment



(Page 8-9 and 8-10, Program Standards Manual)

Criteria	Element	Jurisdiction's Self-Assessment YES	Jurisdiction's Self-Assessment NO	Self-Assessor's General Comments	Auditor's Verification YES	Auditor's Verification NO	If NO, Auditor is to specify why criterion is not met
4. Program Resource Assessment	e) The jurisdiction has conducted an assessment to determine if the agency has the budget, staffing, and equipment necessary to meet Standard #5 - Foodborne Illness and Food Security Preparedness and Response.						
4. Program Resource Assessment	f) The jurisdiction has conducted an assessment to determine if the agency has the budget, staffing, and equipment necessary to meet Standard #6 - Compliance and Enforcement.						
4. Program Resource Assessment	g) The jurisdiction has conducted an assessment to determine if the agency has the budget, staffing, and equipment necessary to meet Standard #7 - Industry and Community Relations.						

Standard 8 – Program Support and Resources

Step 4: Program Resource Assessment

(Page 8-13, Program Standards Manual)

To meet the Standard 8 criteria, the jurisdiction does NOT have to meet Standards 1-7, and 9. The jurisdiction merely has to perform the assessment as to whether program resources are sufficiently available for each Standard.

Standard 8 – Program Support and Resources

Verification of Self-Assessment Results

(Page 8-4, Program Standards Manual)

The essential program elements required to demonstrate compliance with this standard are:

- Full-time equivalent (FTE) personnel to inspections accomplished ratio as described in section 1.
- Inspection equipment assigned or available as described in section 2.
- Equipment and/or supplies required for administering the program as described in Section 3.
- A full and accurate completion of the *Standard 8: Self-Assessment Worksheet* or equivalent whether or not those standards are met.
- Budget, staffing, and equipment resource assessment conducted for each of the Standards

Standard 8 – Program Support and Resources

Verification of Self-Assessment Results



(Page 8-8 thru 8-11, Program Standards Manual)

Criteria	Element	Jurisdiction's Self-Assessment YES	Jurisdiction's Self-Assessment NO	Self-Assessor's General Comments	Auditor's Verification YES	Auditor's Verification NO	If NO, Auditor is to specify why criterion is not met
1. Staffing Level	<p>a) The jurisdiction has written documentation, calculations, or a program resource assessment that demonstrates a staffing level of one FTE for every 280-320 retail food program inspections performed or the staffing level set by the jurisdiction.</p> <p>Note: The jurisdiction may use an alternative for determining and calculating staffing level. It should be indicated within the Self-Assessment General Comments section.</p>	X			X		
2. Inspection Equipment	<p>a) The jurisdiction can show through written records, equipment inventories, or actual observations that each retail food program inspector has a head cover, thermocouple, flashlight, sanitization test kit, heat sensitive tapes or maximum registering thermometer, and necessary forms and administrative materials.</p>	X			X		

Participant Manual

Standard 8

Question 1

Page 34

Standard 8 – Program Support and Resources

Four Core Criteria

(Pages 8-2 thru 8-4, Program Standards Manual)

- Staff level per food inspections performed
- Availability of food inspection equipment
- Administrative Program Support
- Program resource (budget, staff, equipment) assessment for each Standard

Participant Manual

Standard 8

Questions 6 and 7

Pages 35

Standard 8 – Program Support and Resources

Step 4: Program Resource Assessment

(Page 8-13, Program Standards Manual)

To meet the Standard 8 criteria, the jurisdiction does NOT have to meet Standards 1-7, and 9. The jurisdiction merely has to perform the assessment as to whether program resources are sufficiently available for each Standard.

STANDARD 8 SELF-ASSESSMENT OR VERIFICATION AUDIT PROCESS QUESTIONS



Standard 9 Program Assessment

Preparing for the
Self-Assessment
or
Verification Audit

Preparing for the Standard 9 Self-Assessment

Source Documents

- Copy of Program Standard 9
- Clearinghouse Interpretations
- Standard 9: Self-Assessment and Verification Audit Form
- The jurisdiction's report documenting findings from their risk factor study
- Documentation of the jurisdiction's intervention strategy(s) to address one or more foodborne illness risk factors based on findings from their risk factor study

Preparing for the Standard 9 Self-Assessment Source Documents

<https://www.fda.gov/food/retail-food-protection/retail-food-risk-factor-study>




Retail Food Risk Factor Study

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In 1998, the FDA National Retail Food Team initiated a three-phase, 10-year study to measure the occurrence of practices and behaviors commonly identified by the Centers for Disease Control and Prevention as contributing factors in foodborne illness outbreaks.

In 2013, the FDA National Retail Food Team initiated a new, 10-year study to measure the occurrence of practices and behaviors commonly identified by the Centers for Disease Control and Prevention as contributing factors in foodborne illness outbreaks. Initial data collections began in 2013 for select restaurant facility types, followed by data collection for select institutional foodservice facility types in 2014 and select retail food store facility types in 2015. The results of the initial data collection for each of the facility types will serve as the baseline measurement from which trends will be analyzed. Two additional data collection periods for each of the facility types are planned at 3-year intervals after the initial data collection for the purposes of analyzing trends.

Backgrounders

- [FDA Briefing to Food Store Stakeholders](#)  March 2016
- [FDA Briefing to Restaurant Stakeholder](#)  June 2014
- [Highlights of the 2010 Trend Analysis Report](#) 
- [Retail Food Safety Initiative](#)

→ Reports

- **2015-2016 Occurrence Report:** [Report on the Occurrence of Foodborne Illness Risk Factors in Retail Food Store Deli Departments](#) (PDF: 1.60MB)

Preparing for the Standard 9 Self-Assessment Forms and Worksheets

<http://www.fda.gov/retailprogramstandards>



The screenshot shows the top navigation bar of the FDA website with the logo and "U.S. FOOD & DRUG ADMINISTRATION". It includes a search bar and a menu icon. Below the navigation bar is a breadcrumb trail: "← Home / Food / Guidance & Regulation (Food and Dietary Supplements) / Retail Food Protection / Voluntary National Retail Food Regulatory Program Standards". The main heading is "Voluntary National Retail Food Regulatory Program Standards". Below the heading are social media sharing buttons for Facebook, Twitter, LinkedIn, Email, and Print.

Standard 9: Program Assessment

- [Standard 9 \(PDF - 92KB\)](#)
- [Standard 9 – Self-Assessment and Verification Audit Form \(PDF - 214KB\)](#)

Standard 9 Program Assessment

Preparing for the Self-Assessment or Verification Audit

(Pages 9-2 thru 9-9, Standards Manual)

Standard 9 – Program Assessment

This Standard applies to the process used to measure the success of a jurisdiction's program in reducing the occurrence of foodborne illness risk factors to enhance food safety and public health in the community.

Standard 9 – Program Assessment Three Core Criteria

(Page 9-2, Program Standards Manual)

1. Foodborne Illness Risk Factor Study
2. Risk Factor Study Report and Analysis
3. Intervention Strategy

Standard 9 – Program Assessment

Step 1: Risk Factor Study

(Page 9-8, Program Standards Manual)

Criteria	Element	Jurisdiction's Self-Assessment YES	Jurisdiction's Self-Assessment NO	Self-Assessor's General Comments	Auditor's Verification YES	Auditor's Verification NO	If NO, Auditor is to specify why criterion is not met
1. Risk Factor Study	a) A study on the occurrence of foodborne illness risk factors has been completed and includes data for each facility type regulated by the jurisdiction collected over the study cycle.						
1. Risk Factor Study	b) The data collection form includes items pertaining to the following Center for Disease Control and Prevention (CDC) identified contributing factors to foodborne illness. <ol style="list-style-type: none"> 1. Food from Unsafe Sources; 2. Improper Holding/Time and Temperature; 3. Inadequate Cooking; 4. Poor Personal Hygiene; and 5. Contaminated equipment / Protection from contamination. 						
1. Risk Factor Study	c) The data collection form provides for marking actual observations of food practices within an establishment (IN, OUT, NO, and NA).						

Standard 9 – Program Assessment

Step 1a: Inclusion of Facility Types

(Page 9-3, Program Standards Manual)

Facility Types (2016 Conference for Food Protection)

- Health Care
- Schools (K-12)
- Restaurants
- Retail Food Stores

May stagger collection over the 5 years.

Standard 9 – Program Assessment

Step 1b: Study Addresses Risk Factor Areas

(Page 9-2, Program Standards Manual)

Inclusion of Foodborne Illness Risk Factor Areas

- Food from Unapproved Source
- Improper Holding/Time & Temperature
- Inadequately Cooking
- Poor Personal Hygiene
- Contamination Equipment/Protection from Contamination

Standard 9 – Program Assessment

Step 1c: Data Forms Capture Actual Observations

(Page 9-3, Program Standards Manual)

Data Collection Form / Inspection Form – Captures Actual Observations

- **IN** Compliance
- **OUT** of Compliance
- **N.O.** – Not Observed
- **N.A.** – Not Applicable

Standard 9 – Program Assessment

Step 2: Report of Analysis and Outcomes

(Page 9-9, Program Standards Manual)

Criteria	Element	Jurisdiction's Self-Assessment YES	Jurisdiction's Self-Assessment NO	Self-Assessor's General Comments	Auditor's Verification YES	Auditor's Verification NO	If NO, Auditor is to specify why criterion is not met
2. Report of Analysis and Outcome	a) A report is available that shows the results of the data collection from the jurisdiction's foodborne illness risk factor study.						
2. Report of Analysis and Outcome	b) The report provides quantitate measurements upon which to assess the trends in the occurrence of foodborne illness risk factors over time.						

Standard 9 – Program Assessment

Step 2: Report of Analysis and Outcomes

(Page 9-2, Program Standards Manual)

- Data Analysis

An analysis is made of the data collection and a report on the outcomes conclusion of the Study is written

Quantitative measurement upon which to assess trends in the occurrence of foodborne illness risk factors

Standard 9 – Program Assessment

(Page 9-2 and 9-3, Program Standards Manual)

Foodborne Illness Risk Factor Study and report within 60 months of enrollment

- Updated at least once every 5 years

Standard 9 – Program Assessment

Step 3: Intervention Strategy



(Page 9-10, Program Standards Manual)

Criteria	Element	Jurisdiction's Self-Assessment YES	Jurisdiction's Self-Assessment NO	Self-Assessor's General Comments	Auditor's Verification YES	Auditor's Verification NO	If NO, Auditor is to specify why criterion is not met
3. Intervention Strategy	a) A targeted intervention strategy designed to address the occurrence of the risk factor(s) identified in their risk factor study is implemented and the effectiveness of such strategy is evaluated by subsequent risk factor studies.						
3. Intervention Strategy	b) Documentation is provided of performed interventions, action, or activities designed to improve control of foodborne illness risk factors.						

Standard 9 – Program Assessment

Step 3: Intervention Strategy

(Page 9-3, Program Standards Manual)

Implement **targeted intervention** strategy that is based on data analysis.

Standard 9 – Program Assessment Verification Audit Results



(Page 9-8 thru 9-9, Program Standards Manual)

Criteria	Element	Jurisdiction's Self-Assessment YES	Jurisdiction's Self-Assessment NO	Self-Assessor's General Comments	Auditor's Verification YES	Auditor's Verification NO	If NO, Auditor is to specify why criterion is not met
1. Risk Factor Study	a) A study on the occurrence of foodborne illness risk factors has been completed and includes data for each facility type regulated by the jurisdiction collected over the study cycle.	X			X		
1. Risk Factor Study	b) The data collection form includes items pertaining to the following Center for Disease Control and Prevention (CDC) identified contributing factors to foodborne illness. 1. Food from Unsafe Sources; 2. Improper Holding/Time and Temperature; 3. Inadequate Cooking; 4. Poor Personal Hygiene; and 5. Contaminated equipment / Protection from contamination.	X			X		
1. Risk Factor Study	c) The data collection form provides for marking actual observations of food practices within an establishment (IN, OUT, NO, and NA).	X			X		

Participant Manual

Standard 9

Question 1

Standard 9 – Program Assessment

Three Core Criteria

(Page 9-2, Program Standards Manual)

1. Foodborne Illness Risk Factor Study
2. Risk Factor Study Report and Analysis
3. Intervention Strategy

Participant Manual

Standard 9

Question 2

Standard 9 – Program Assessment

Step 1a: Inclusion of Facility Types

(Page 9-3, Program Standards Manual)

Facility Types (2016 Conference for Food Protection)

- Health Care
- Schools (K-12)
- Restaurants
- Retail Food Stores

Participant Manual

Standard 9

Question 3

Standard 9 – Program Assessment

Step 1c: Data Forms Capture Actual Observations

(Page 9-3, Program Standards Manual)

Data Collection Form / Inspection Form – Captures Actual Observations

- **IN** Compliance
- **OUT** of Compliance
- **N.O.** – Not Observed
- **N.A.** – Not Applicable

Participant Manual

Standard 9

Question 4

Standard 9 – Program Assessment

Step 1a: Inclusion of Facility Types

(Clearinghouse Std. 9 Question 1, pg. 111)

Standard 9 was changed based on the 2004 CFP recommendation so that a risk factor study need only be completed once every five years. In later revisions it was clarified that surveys of the various facility types can be conducted independently over the 5-year evaluation period as long as all the facility types under the jurisdiction's authority are surveyed within the recurring survey cycle. The Standard was also revised to allow regular inspection data to be used in determining the occurrence of the risk factors most in need of priority attention.

FDA currently has four industry segments that include the following facility types: Health Care (hospitals, long-term care facilities), Schools (K-12), Restaurants, Retail Food Stores (must have a deli operation). Jurisdictions must include in their study, all establishments that fall under the four industry segments for which they have regulatory oversight.

Standard 9 – Resources

Contact your Specialist. We can help!

- Discuss your goals and how they drive your study
- Discuss study design options
- Talk about sample size considerations
- Develop collection schedule
- Think about data collection policies
- Provide training
- Sample collection forms and marking instructions
- Get you access to the Retail Risk Factor Study Database

STANDARD 9 SELF-ASSESSMENT OR VERIFICATION AUDIT PROCESS QUESTIONS



Standard 4
Uniform Inspection Program
Preparing for the Self-Assessment
or
Verification Audit

Conducting the Standard 4 Self-Assessment

Source Documents



- Copy of Program Standard 4
- Clearinghouse Interpretations
- Table 4-2 and Table 4-3. If necessary, Table 4-1 of the Standard 4: Self-Assessment Worksheet
- The written quality assurance plan
- Schedule or list of field and file reviews
- Documents showing that the reviews occurred at the scheduled frequencies
- Analysis results/outcome reports of element review
- Descriptions of proposed follow-up actions
- Follow-up actions taken based on review

Preparing for the Standard 4 Self-Assessment Forms and Worksheets

<http://www.fda.gov/retailprogramstandards>

Voluntary National Retail Food Regulatory Program Standards - August 2022

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Standard 4: Uniform Inspection Program

- [Standard 4 \(PDF - 67KB\)](#)
- [Standard 4 – Self-Assessment and Verification Audit Form \(PDF - 765KB\)](#)
- [Standard 4 – Self-Assessment Instructions and Worksheet \(PDF - 1.4MB\)](#)

Standard 4
Uniform Inspection Program
Conducting the Self-Assessment
or
Verification Audit

Standard 4 - Uniform Inspection Program



Program management has established a quality assurance program to ensure uniformity among regulatory inspection staff in the interpretation and application of laws, regulations, policies, and procedures.



Standard 4 - Uniform Inspection Program

Three Core Requirements

(Pages 4-2 thru 4-4, Standards Manual)

- Written Quality Assurance Program Document – including corrective actions for deficiencies
- Twenty Quality Assurance Inspection Program Elements
- Demonstration of Program Effectiveness that the program achieves a 75 percent performance rating on each element using the appropriate Standard 4 self-assessment procedure and table

Standard 4 – Uniform Inspection Program

Step 1: Written Quality Assurance Program Document



Jurisdiction Name: _____

Criteria	Element	Jurisdiction's Self-Assessment YES	Jurisdiction's Self-Assessment NO	Self-Assessor's General Comments	Auditor's Verification YES	Auditor's Verification NO	If NO, Auditor is to specify why criterion is not met
1. Written Quality Assurance Program Document	a. The jurisdiction has a written quality assurance program that covers all regulatory staff that conducts retail food and/ or foodservice inspections.						
1. Written Quality Assurance Program Document	b. The jurisdiction periodically conducts an analysis of the results of the quality assurance program to identify quality or consistency problems among the staff in the twenty quality elements.						
1. Written Quality Assurance Program Document	c. The jurisdiction's written quality assurance program describes corrective actions to address an individual retail food program inspector's performance quality or consistency issues when they are identified.						



Standard 4 – Uniform Inspection Program

Step 1a: Written Quality Assurance Program Document

- Written Quality Assurance Plan must:
 - Cover **ALL** retail food program inspection staff
 - Specialized Staff members who do not conduct operational inspections, (i.e., staff assigned to Plan Reviews) are not required to be covered under the QA process.

Standard 4 – Uniform Inspection Program

Step 1b: Source Information Documents



- Documentation of jurisdiction review of performance levels of staff on a regular or defined schedule
 - Frequency/Review method left to jurisdiction’s discretion
 - Schedule of the review process should be included in the written program
 - If no frequency schedule, alternate method must demonstrate that the program is on-going
 - Generation of reports that identify necessary follow-up and corrective actions

Standard 4 – Uniform Inspection Program



Step 1c: Corrective Actions to Address

- The written program must include, in general terms, what kinds of corrective actions will be taken when performance quality or consistency issues are identified
 - Group or individual training
 - Develop/Implement Standard Operating Procedures
 - Issuance of Policy Memoranda
 - Performance Improvement Plans

Standard 4 – Uniform Inspection Program

Step 2: Twenty Quality Assurance Elements

(Pages 4-8 thru 4-13, Standards Manual)



Criteria	Element	Jurisdiction's Self-Assessment YES	Jurisdiction's Self-Assessment NO	Self-Assessor's General Comments	Auditor's Verification YES	Auditor's Verification NO	If NO, Auditor is to specify why criterion is not met
2. Twenty quality Assurance Elements	The jurisdictions quality assurance program provides a method to review or monitor, either individually or programmatically, the concepts in the twenty quality elements. The twenty elements follow in I. through XX.						
2. Twenty quality Assurance Elements	I. The jurisdiction's quality assurance program assures that each inspector has the required equipment and forms to conduct the inspection.						

Standard 4 – Uniform Inspection Program

Step 2: Twenty Quality Assurance Elements



(Page 4-2, Standards Manual)

1. Has required equipment and forms to conduct the inspection
2. Reviews the contents of the establishment file, including the previous inspection report, reported complaints on file, and, if applicable, required HACCP Plans or documents support the issuance of a variance

Standard 4 – Uniform Inspection Program

Step 2: Twenty Quality Assurance Elements



(Page 4-2, Standards Manual)

3. Verifies that the establishment is in the proper risk category and that the required inspection frequency is being met. Informs supervisor when the establishment is not in the proper risk category or when the required frequency is not met.
4. Provides identification as a regulatory official to the person in charge and states the purpose of the visit

Standard 4 – Uniform Inspection Program

Step 2: Twenty Quality Assurance Elements



(Page 4-2, Standards Manual)

5. Interprets and applies the jurisdiction's laws, rules, policies, procedures, and regulations required for conducting retail food establishment inspections.
6. Uses a risk-based inspection methodology to conduct the inspection.
7. Accurately determines the compliance status of each risk factor and Food Code intervention (i.e., IN; OUT; Not Observed; or Not Applicable).

Standard 4 – Uniform Inspection Program

Step 2: Twenty Quality Assurance Elements



(Page 4-2, Standard Manual)

8. Obtains corrective actions for out-of-compliance risk factors and Food Code interventions in accordance with the jurisdiction's policies.
9. Discusses options for the long-term control of risk factors with establishment managers, when the same out-of-control risk factor occurs on consecutive inspections, in accordance with the jurisdiction's policies

Standard 4 – Uniform Inspection Program

Step 2: Twenty Quality Assurance Elements



(Page 4-2, Standards Manual)

10. Verifies correction of out-of-compliance observations identified during the previous inspection. In addition, follows through with compliance and enforcement in accordance with jurisdiction's policies.

11. Conducts an exit interview that explains the out-of-compliance observations, corrective actions, and time frames for correction, in accordance with jurisdiction's policies.

Standard 4 – Uniform Inspection Program

Step 2: Twenty Quality Assurance Elements



(Page 4-3, Standards Manual)

12. Provides the inspection report and, when necessary, cross-referenced document, to the person in charge or permit holder, in accordance with jurisdiction's policies.
13. Demonstrates proper sanitary practices as expected from a food service employee.
14. Completes the inspection form per the jurisdiction's policies.

Standard 4 – Uniform Inspection Program

Step 2: Twenty Quality Assurance Elements



(Page 4-3, Standards Manual)

15. Documents the compliance status of each risk factor and intervention (IN, OUT, NO, NA).
16. Cites the proper code provisions for risk factors and Food Code interventions in accordance with jurisdiction's policies.
17. Documents corrective action for out-of-compliance risk factors and Food Code interventions in accordance with the jurisdiction's policies.

Standard 4 – Uniform Inspection Program

Step 2: Twenty Quality Assurance Elements



(Page 4-3, Standards Manual)

18. Documents that options for the long-term control of risk factors were discussed with establishment manager when the same out-of-control risk factor occurs on consecutive inspections.
19. Compliance or regulatory documents are accurately completed, appropriately cross-referenced with inspection report, and included with the inspection report.
20. Files reports and other documentation in a timely manner, in accordance with jurisdiction's policies.

Standard 4 – Uniform Inspection Program

Step 3: Demonstration of Program Effectiveness



(Page 4-13, Standards Manual)

Criteria	Element	Jurisdiction's Self-Assessment YES	Jurisdiction's Self-Assessment NO	Self-Assessor's General Comments	Auditor's Verification YES	Auditor's Verification NO	If NO, Auditor is to specify why criterion is not met
3.Demonstration of Program Effectiveness Using the Statistical Method in Standard 4: Self-Assessment Worksheet	a. The program effectiveness measure documents that 3 self-assessment field reviews were conducted for each employee performing retail food and or foodservice inspection work during the five-year self-assessment period. [New staff who have not completed Steps 1 through 3 of Standard 2 are exempt from this field measurement.]						
3.Demonstration of Program Effectiveness Using the Statistical Method in Standard 4: Self-Assessment Worksheet	b. Based on the self-assessment field reviews using the statistical method described in Standard 4: Self-Assessment Worksheet, the jurisdiction's regulatory staff achieves a rate of 75% on each quality element for jurisdictions with 10 or more inspectors. For jurisdictions with less than 10 inspectors, the achievement rate meets or exceeds the Table 4-1 calculation.						

Standard 4 – Uniform Inspection Program

Description of Performance Requirements



(Pages 4-15 thru 4-16, Standards Manual)

- Evaluation of each inspector is used to obtain an overall program performance measure
 - Assess each inspector’s work during a minimum of 3 joint on-site inspections, with corresponding file review, during every SA period
 - Determine overall program performance using the appropriate statistical procedure in the Standard 4 Worksheets

Standard 4 – Uniform Inspection Program

Use of Tables and Evaluation Methods



(Pages 4-15 thru 4-20, Standards Manual)

- Tables & methods provide a statistical sampling to measure the overall effectiveness of the QA program
- Two procedures for determining compliance
 - Jurisdictions with **less than 10 inspectors**
(Table 4-1 and Chart 4-1)
 - Jurisdictions with **10 or more inspectors**
(Table 4-2)

Standard 4 – Uniform Inspection Program

Ten or More Inspectors – Use Table 4-2



Table 4-2: Calculation of Uniformity for Jurisdictions with Ten or More Inspectors

No.	Inspector ID	Date	Establishment ID	Item (1)	Item (2)	Item (3)	Item (4)	Item (5)	Item (6)	Item (7)	Item (8)	Item (9)	Item (10)	Item (11)	Item (12)	Item (13)	Item (14)	Item (15)	Item (16)	Item (17)	Item (18)	Item (19)	Item (20)
1	044	1/8/21	3456	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
2	044	1/8/21	7890	X		X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
3	044	1/8/21	1234	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
4	171	2/3/21	5678	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
5	171	2/3/21	9012	X	X	X	X	X	X	X	X		X	X	X	X	X	X	X	X	X	X	X
6	171	2/3/21	4567	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
7	124	3/11/21	8901	X	X	X	X	X			X		X	X	X		X		X			X	X
8	124	3/11/21	2345	X	X		X	X		X	X		X	X	X	X	X	X	X	X	X	X	X
9	124	3/11/21	6789	X		X	X	X			X	X	X	X	X	X	X		X	X		X	X
10	008	4/20/21	0123	X		X	X	X	X		X		X	X	X	X	X		X	X		X	X
11	008	4/20/21	0987	X	X	X	X			X	X		X	X	X	X	X	X	X	X	X	X	X
12	008	4/20/21	6543	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
13	435	5/26/21	2109	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X		X	X
14	435	5/26/21	8765	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
15	435	5/26/21	4321	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
16	267	6/1/21	2468	X	X		X			X			X	X	X	X			X	X			X
17	267	6/1/21	0246	X	X	X	X	X			X		X	X	X	X	X	X	X	X	X	X	X
18	267	6/1/21	8024	X		X	X	X			X	X	X	X	X	X	X	X	X		X	X	X
19	666	7/19/21	6802	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X		X	X	X
20	666	7/19/21	4680	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
21	666	7/19/21	1357	X	X	X	X		X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
22	912	8/23/21	9135	X		X	X	X	X	X	X		X	X	X	X		X	X	X	X	X	X
23	912	8/23/21	7913	X		X	X	X			X	X	X	X	X	X	X		X	X	X	X	X
24	912	8/23/21	5791	X	X	X	X	X		X	X	X	X	X	X	X	X	X	X	X	X	X	X
25	347	9/21/21	1470	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X			X	X	X
26	347	9/21/21	2581	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
27	347	9/21/21	3692	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
28	998	10/7/21	0111	X	X		X	X			X		X	X	X	X	X	X	X	X	X	X	X
29	998	10/7/21	2333	X	X	X	X		X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
30	998	10/7/21	4747	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X

Participant Manual

Standard 4

Question 4

Page 21

Standard 4 – Uniform Inspection Program

Ten or more inspectors – Table 4-3 Calculation



(Pages 4-15 thru 4-19, Standards Manual)

- Summary of Table 4-3 Calculation
 - Fill in check mark for each item in compliance for 3 inspections for each inspector
 - Total the number of check marks in each column
 - Divide by the total possible checks for the column and multiplied by 100
 - Must achieve 75% for each column

Standard 4 – Uniform Inspection Program

Ten or More Inspectors – Use Table 4-2



Table 4-2: Calculation of Uniformity for Jurisdictions with Ten or More Inspectors

No.	Inspector ID	Date	Establishment ID	Item (1)	Item (2)	Item (3)	Item (4)	Item (5)	Item (6)	Item (7)	Item (8)	Item (9)	Item (10)	Item (11)	Item (12)	Item (13)	Item (14)	Item (15)	Item (16)	Item (17)	Item (18)	Item (19)	Item (20)
1	044	1/8/21	3456	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
2	044	1/8/21	7890	X		X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
3	044	1/8/21	1234	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
4	171	2/3/21	5678	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
5	171	2/3/21	9012	X	X	X	X	X	X	X	X		X	X	X	X	X	X	X	X	X	X	X
6	171	2/3/21	4567	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
7	124	3/11/21	8901	X	X	X	X	X			X		X	X	X		X		X			X	X
8	124	3/11/21	2345	X	X		X	X		X	X		X	X	X	X	X	X	X	X	X	X	X
9	124	3/11/21	6789	X		X	X	X			X	X	X	X	X	X		X	X			X	X
10	008	4/20/21	0123	X		X	X	X	X		X		X	X	X	X		X	X			X	X
11	008	4/20/21	0987	X	X	X	X			X	X		X	X	X	X	X	X	X	X	X	X	X
12	008	4/20/21	6543	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
13	435	5/26/21	2109	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X		X	X
14	435	5/26/21	8765	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
15	435	5/26/21	4321	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
16	267	6/1/21	2468	X	X		X			X			X	X	X	X			X	X			X
17	267	6/1/21	0246	X	X	X	X	X			X		X	X	X	X	X	X	X	X	X	X	X
18	267	6/1/21	8024	X		X	X	X			X	X	X	X	X	X	X	X	X			X	X
19	666	7/19/21	6802	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X			X	X
20	666	7/19/21	4680	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
21	666	7/19/21	1357	X	X	X	X		X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
22	912	8/23/21	9135	X		X	X	X	X	X	X		X	X	X	X		X	X	X	X	X	X
23	912	8/23/21	7913	X		X	X	X			X	X	X	X	X	X		X	X	X	X	X	X
24	912	8/23/21	5791	X	X	X	X	X		X	X	X	X	X	X	X	X	X	X	X	X	X	X
25	347	9/21/21	1470	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X			X	X
26	347	9/21/21	2581	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
27	347	9/21/21	3692	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
28	998	10/7/21	0111	X	X		X	X			X			X	X	X	X	X	X	X	X	X	X
29	998	10/7/21	2333	X	X	X	X		X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
30	998	10/7/21	4747	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X

Standard 4 – Uniform Inspection Program

Ten or More Inspectors – Use Table 4-3

(Page 4-16, Standards Manual)



Table 4-3: Calculation of Uniformity for Jurisdictions with Ten or More Inspectors

Measure	Item (1)	Item (2)	Item (3)	Item (4)	Item (5)	Item (6)	Item (7)	Item (8)	Item (9)	Item (10)	Item (11)	Item (12)	Item (13)	Item (14)	Item (15)	Item (16)	Item (17)	Item (18)	Item (19)	Item (20)
1. Number of Check Marks from Table 4-2	30	24	27	30	26	20	24	28	21	30	30	30	29	28	25	30	26	24	29	30
2. Number of Inspections Reviewed in Table 4-2	30	30	30	30	30	30	30	30	30	30	30	30	30	30	30	30	30	30	30	30
3. % IN Compliance (Row 1 ÷ Row 2)	100%	80%	90%	100%	87%	67%	80%	93%	70%	100%	100%	100%	97%	93%	83%	100%	87%	80%	97%	100%

Standard 4 – Uniform Inspection Program

Less Than 10 Inspectors

(Pages 4-18, Standards Manual)



- **Key points to remember**
 - 3 inspectors or less, use a minimum of 12 inspections.
 - 4 to 9 inspectors, use three inspections each.
 - Total “in compliance” checks for all items.
 - Determine the number of possible check marks based on the number of inspections used (20 items X the no. of inspections).
 - Determine if Standard 4 criteria is met from Chart 4-1.

Participant Manual

Standard 4

Questions 5-7

Page 23

(Chart 4-1 is on Next Slide)

Standard 4 – Uniform Inspection Program Less Than 10 Inspectors – Chart 4-1



(Page 4-17, Standards Manual)

Chart 4-1

Method of Calculation for Jurisdictions with Less Than Ten Inspectors

# of inspectors	# inspections needed	# of items needed to be marked IN compliance in order to meet Standard 4 criteria
<4	12 minimum	200 (out of 240 possible Items)
4-9	3 per inspector	4 inspectors = 200 (out of 240 possible Items) 5 inspectors = 252 (out of 300 possible Items) 6 inspectors = 303 (out of 360 possible Items) 7 inspectors = 355 (out of 420 possible Items) 8 inspectors = 407 (out of 480 possible Items) 9 inspectors = 459 (out of 540 possible Items)

NOTE:

1. These minimum inspection program assessment criteria are comparable to the 75% IN Compliance rate for each of the twenty inspection program areas for jurisdictions with 10 or more inspectors.

Example: For 6 inspectors, there will be 3 field visits per inspector = 18 visits 18 visits X 20 Items per visit = 360 Total Possible Items

Participant Manual

Standard 4

Question 8

Page 24

Standard 4 – Uniform Inspection Program Less Than 10 Inspector Calculation Exercise



(Page 4-18, Standards Manual)

No.	Inspector ID	Date	Establishment ID	Item (1)	Item (2)	Item (3)	Item (4)	Item (5)	Item (6)	Item (7)	Item (8)	Item (9)	Item (10)	Item (11)	Item (12)	Item (13)	Item (14)	Item (15)	Item (16)	Item (17)	Item (18)	Item (19)	Item (20)
1	044	1/8/21	3456	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
2	044	1/8/21	7890	X		X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
3	044	1/8/21	1234	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
4	171	2/3/21	5678	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
5	171	2/3/21	9012	X	X	X	X	X	X	X	X		X	X	X	X	X	X	X	X	X	X	X
6	171	2/3/21	4567	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
7	124	3/11/21	8901	X	X	X	X	X			X		X	X	X		X		X			X	X
8	124	3/11/21	2345	X	X		X	X		X	X		X	X	X	X	X	X	X	X	X	X	X
9	124	3/11/21	6789	X		X	X	X			X	X	X	X	X	X	X		X	X		X	X
10	008	4/20/21	0123	X		X	X	X	X		X		X	X	X	X		X	X			X	X
11	008	4/20/21	0987	X	X	X	X			X	X		X	X	X	X	X	X	X	X	X	X	X
12	008	4/20/21	6543	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
13	435	5/26/21	2109	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X		X	X
14	435	5/26/21	8765	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
15	435	5/26/21	4321	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
16	267	6/1/21	2468	X	X		X			X			X	X	X	X			X	X			X
17	267	6/1/21	0246	X	X	X	X	X			X		X	X	X	X	X	X	X	X	X	X	X
18	267	6/1/21	8024	X		X	X	X			X	X	X	X	X	X	X	X	X		X	X	X

Standard 4 – Uniform Inspection Program

Answer – Less Than 10 Inspectors Exercise

(Page 4-18, Standards Manual)



Table 4-1

Calculation of Uniformity for Jurisdictions with Less Than Ten Inspectors

Period from 01-01-2021 to 06-01-2021

1. Number of inspectors in the jurisdiction	6
2. Number of inspections used in the calculation (minimum of 12)	18
3. Total number of items marked as correct during joint field visits and corresponding file reviews and recorded on Table 4-2.	318
4. Total number of possible items based on the number of inspections (20 items times the # of inspections – see Chart 4-1, column 3)	360
Determine conformance (YES or NO) using Chart 4-1, column 3	YES

Standard 4 – Uniform Inspection Program Self-Assessment Criteria



(Page 4-4, Standards Manual)

The quality control documentation need for this standard include:

- A written procedure that describes the jurisdiction quality assurance program that contains the 20 inspection program areas, including actions for deficiencies
- Program achieves a 75% performance rating on each of the inspection program areas, using the assessment procedure described in Standard 4

Conducting the Standard 4 Self-Assessment

Source Documents



- Copy of Program Standard 4
- Clearinghouse Interpretations
- Table 4-2 and Table 4-3. If necessary, Table 4-1 of the Standard 4: Self-Assessment Worksheet
- The written quality assurance plan
- Schedule or list of field and file reviews
- Documents showing that the reviews occurred at the scheduled frequencies
- Analysis results/outcome reports of element review
- Descriptions of proposed follow-up actions
- Follow-up actions taken based on review

Standard 4 – Uniform Inspection Program

Verification Audit Results



(Pages 4-8 thru 4-14, Standards Manual)

Jurisdiction Name: _____

Criteria	Element	Jurisdiction's Self-Assessment YES	Jurisdiction's Self-Assessment NO	Self-Assessor's General Comments	Auditor's Verification YES	Auditor's Verification NO	If NO, Auditor is to specify why criterion is not met
1. Written Quality Assurance Program Document	a. The jurisdiction has a written quality assurance program that covers all regulatory staff that conducts retail food and/ or foodservice inspections.	X			X		
1. Written Quality Assurance Program Document	b. The jurisdiction periodically conducts an analysis of the results of the quality assurance program to identify quality or consistency problems among the staff in the twenty quality elements.	X			X		
1. Written Quality Assurance Program Document	c. The jurisdiction's written quality assurance program describes corrective actions to address an individual retail food program inspector's performance quality or consistency issues when they are identified.	X			X		
2. Twenty quality Assurance Elements	The jurisdictions quality assurance program provides a method to review or monitor, either individually or programmatically, the concepts in the twenty quality elements. The twenty elements follow in I. through XX.	X			X		
2. Twenty quality Assurance Elements	I. The jurisdiction's quality assurance program assures that each inspector has the required equipment and forms to conduct the inspection.	X			X		

Participant Manual

Standard 4

Question 1

Page 20



Standard 4 - Uniform Inspection Program

Three Core Requirements

(Pages 4-2 thru 4-4, Standards Manual)

- Written Quality Assurance Program Document – including corrective actions for deficiencies
- Twenty Quality Assurance Inspection Program Elements
- Demonstration of Program Effectiveness that the program achieves a 75 percent performance rating on each element using the appropriate Standard 4 self-assessment procedure and table



Participant Manual

Standard 4

Question 2

Page 20

Participant Manual

Standard 4

Question 3

Page 20

STANDARD 4 SELF-ASSESSMENT OR VERIFICATION AUDIT PROCESS QUESTIONS



Standard 2 Trained Regulatory Staff

Preparing for the Self-Assessment

Preparing for the Standard 2 Self-Assessment

Source Documents

- Copy of Program Standard 2
- Clearinghouse Interpretations
- Listing of employees working in the retail food program and date of hire
- Records of course completion of the Standard 2 curriculum; transcripts; affidavits
- Copies of 25 joint field training inspections/independent inspections

Preparing for the Standard 2 Self-Assessment

Source Documents

- Documentation of completion of a field training process similar to that contained in Appendix B-2
- Standardization/Re-standardization certificates/letters
- Records of contact hours via database; certificates; attendance records; sign-in sheets

Preparing for the Standard 2 Self-Assessment Forms and Worksheets

<http://www.fda.gov/retailprogramstandards>

The screenshot shows the top navigation bar of the FDA website with the logo and 'U.S. FOOD & DRUG ADMINISTRATION'. It includes a search bar and a menu icon. Below the navigation bar is a breadcrumb trail: '← Home / Food / Guidance & Regulation (Food and Dietary Supplements) / Retail Food Protection / Voluntary National Retail Food Regulatory Program Standards'. The main heading is 'Voluntary National Retail Food Regulatory Program Standards'. At the bottom of the page, there are social media sharing buttons for Facebook, Twitter, LinkedIn, Email, and Print.

Standard 2: Trained Regulatory Staff

- [Standard 2 \(PDF: 149KB\)](#)
- [Standard 2 – Self-Assessment and Verification Audit Form \(PDF: 714KB\)](#)
- [Standard 2 – Self-Assessment Instructions and Worksheet \(PDF: 674KB\)](#)
- [Standard 2 – Verification Audit Instructions and Worksheet \(PDF: 710KB\)](#)
- [Standard 2 – Appendix B-1: Curriculum for Retail Food Safety Inspection Officers \(PDF: 37KB\)](#)
- [Standard 2 – Appendix B-2: CFP Field Training Manual](#) [↗](#)
- [Standard 2 – Appendix B-3: Establishment Categories \(PDF: 1MB\)](#)

Standard 2 Trained Regulatory Staff

Preparing for the Self-Assessment

(Pages 2-11 thru 2-16, Program Standards Manual)

Standard 2 – Trained Regulatory Staff

The regulatory staff shall have the knowledge, skills, and ability to adequately perform their required duties.

Standard 2 – Trained Regulatory Staff

Five Core Requirements/Steps

(Page 2-2, Program Standards Manual)

- Step 1: Pre-Inspection Curriculum
- Step 2: Joint Field Training
[CFP Field Training Manual \(Updated 2020 CFP\)](#)
- Step 3: Independent Inspections
[Completion of Curriculum \(designated as “Post” courses\)](#)
- Step 4: Standardization
- Step 5: Continuing Education

Standard 2 – Trained Regulatory Staff

Step 1: Employee Training Records



(Page 2-14, Program Standards Manual)

Criteria	Element	Jurisdiction's Self-Assessment YES	Jurisdiction's Self-Assessment NO	Self-Assessor's General Comments	Auditor's Verification YES	Auditor's Verification NO	If NO, Auditor is to specify why criterion is not met
1. Employee Training Records	a) The jurisdiction maintains a written training record for each employee that includes the date of hire or assignment to the agency's retail food protection program.						
1. Employee Training Records	b) The jurisdiction's written training record provides documentation that each employee has completed the Standard 2 prerequisite ("Pre") training curriculum PRIOR to conducting independent retail food or foodservice inspections.						

Standard 2 – Trained Regulatory Staff

Step 1: Employee Training Records

(Page 2-9 thru 2-10, Program Standards Manual)

- Maintenance of a written training record for each employee
- Documentation of completion of the Standard 2 pre-requisite curriculum prior to conducting independent inspections.

Standard 2 – Trained Regulatory Staff

Step 1: Employee Training Records



(Page 2-19, Program Standards Manual)

(*indicates completion date required)

No.	Employee Name	Date of Hire or Assignment to the Retail Food Program	Completion of Training Pre-requisite ("Pre") Curriculum* (Prior to conducting independent inspections)	Completion of a Minimum of 25 Joint Field Training Inspections* AND Successful completion of a field training process similar to the CFP Field Training Manual in Appendix B-2	Completion of a Minimum 25 Independent Inspections* AND "Post" Curriculum Courses* (within 24 months of hire or assignment to the Retail Food Program)	Completion of Field Standardization* (within 24 months of hire or assignment to the Retail Food Program)	Number of Education Contact Hours (Minimum of 20 Contact Hours Every 3 Years)	Meets the Standard 2 Criteria YES or No
1	Billie Sims	9-21-1985	Previous coursework meets the standard	Waived, completed previous field training; records on file	Records on file:>500 independent inspections	Standardized 10-11-23	20	YES
2	Steven Owens	9-22-1995	Previous coursework meets the standard	Waived, completed previous field training; records on file	Records on file:>500 independent inspections	Standardized 12-22-23	0	YES
3	Jamie Holloway	3-6-2015	6-15-15	7-2-15	8-1-15	Re-Standardized 3-17-22	20	YES
4	Sue Scooner	11-1-2016	12-22-16	12-31-16	3-11-17	Re-Standardized 4-21-23	32	YES
5	Richard Bryan	10-22-2021	2-6-22	3-12-22	4-17-22	Standardized 1-5-23	0	YES
6	Jackson Clayton	8-8-2010	Previous coursework meets the standard	Waived, completed previous field training; records on file	Records on file:>500 independent inspections	Re-Standardized 9-21-22	20	YES
7	Joseph Pruitt	7-5-2021	11-1-21	1-12-22	8-5-22	Standardized 1-2-23	36	YES
8	Greg Washington	4-25-2017	9-26-17	10-27-17	12-3-17	Re-Standardized 9-12-23	20	YES
9	Madison Hall	4-25-2022	8-1-22	10-20-22	4-29-23	Standardized 6-24-23	24	YES
10	Joseph Rockdale	5-1-2019	10-25-19	11-11-19	12-15-19	Standardized 10-1-20	8	NO

1. Ninety percent (90% of the staff must meet each training element for the Jurisdiction to meet Standard 2-Trained Regulatory Staff.

2. Based on the documentation from this worksheet, record your finding for each of the items on the *Standard 2: Program Self-Assessment and Verification Audit Form*

Standard 2 – Trained Regulatory Staff

Step 1: Pre-Curriculum



(Pages 2-3 thru 2-4, Program Standards Manual)

Knowledge Assessment **OPTIONS**

1. FDA's ORA-U course/exam module, or
2. Equivalent Curriculum

Standard 2 – Trained Regulatory Staff

Step 1: Pre-Curriculum- Option 1

(Pages 2-26 thru 2-27, Appendix B-1, Program Standards Manual)

PUBLIC HEALTH PRINCIPLES

Courses	Course Number
1-Public Health Principles	FDA36 (90)

MICROBIOLOGY

Courses	Course Number
1-Overview of Microbiology	MIC01 (60)
2A-Gram Negative Rods	MIC02 (60)
2B-Gram-Positive Rods & Cocci	MIC03 (90)
3- Foodborne Viruses	MIC04 (60)
4- Foodborne Parasites	MIC05 (90)
Mid-Series Exam	MIC16 (30)
5- Controlling Growth Factors	MIC06 (90)
6-Control by Refrigeration & Freezing	MIC07 (60)
7A-Control by Thermal Processing	MIC08 (90)
7B- Control by Pasteurization	MIC09 (90)
10- Aseptic Sampling	MIC13 (90)
12-Cleaning & Sanitizing	MIC15 (90)



Standard 2 – Trained Regulatory Staff

Step 1: Pre-Curriculum- Option 1 (cont.)

(Pages 2-26 thru 2-27, Appendix B-1, Program Standards Manual)

PREVAILING STATUTES, REGULATIONS, ORDINANCES

Courses	Course Number
1. Basic Food Law for State Regulators	FDA35 (60)
2. Basics of Inspection: Beginning an Inspection	FDA38 (90)
3. Basics of Inspection: Issues & Observations	FDA39 (90)
4. An Introduction to Food Security Awareness	FD251 (60) A PDF/READABLE VERSION at (https://www.fda.gov/training-and-continuing-education/office-training-education-and-development-oted/introduction-food-security-awareness) Note: Required exam is available via www.compliancewire.com .
5. FDA Food Code: Specific SLTT laws and regulations to be addressed by each jurisdiction.	Note: Some jurisdictions may require the FDA Food Code Course in addition to SLTT food code training.

COMMUNICATION SKILLS

Courses	Course Number
1. Communication Skills	CC8030W NOTE: Course must be accessed through LearnEd at: https://fdaoted.csod.com/

Standard 2 – Trained Regulatory Staff

Step 1: Pre-Curriculum- Option 2



(Pages 2-3 thru 2-4, Program Standards Manual)

Equivalent Curriculum (determined by the jurisdiction)

- Course has **at least 80% of the learning objectives** covered in the corresponding ORA U web course,

AND

- Successful completion of a **written examination** (determines basic food safety knowledge). The Standard provides multiple examination options.

Standard 2 – Trained Regulatory Staff

Step 1: Pre-Curriculum

(Pages 2-3 thru 2-4, Program Standards Manual)

(*indicates completion date required)

No.	Employee Name	Date of Hire or Assignment to the Retail Food Program	Completion of Training Pre-requisite ("Pre") Curriculum* (Prior to conducting independent inspections)	Completion of a Minimum of 25 Joint Field Training Inspections* AND Successful completion of a field training process similar to the CFP Field Training Manual in Appendix B-2	Completion of a Minimum 25 Independent Inspections* AND "Post" Curriculum Courses* (within 24 months of hire or assignment to the Retail Food Program)	Completion of Field Standardization* (within 24 months of hire or assignment to the Retail Food Program)	Number of Education Contact Hours (Minimum of 20 Contact Hours Every 3 Years)	Meets the Standard 2 Criteria YES or No
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10	Joseph Rockdale	5-1-2019	10-25-19	11-11-19	12-15-19	Standardized 10-1-20	8	NO

1. Ninety percent (90% of the staff must meet each training element for the Jurisdiction to meet Standard 2-Trained Regulatory Staff.

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Standard 2 – Trained Regulatory Staff

Step 1: Pre-Curriculum

(Pages 2-3 thru 2-4, Program Standards Manual)

If you cannot find training records for experienced employees, have them take courses again, or ...

- If trained at your jurisdiction-
 - Find the records you can.
 - Employee can provide affidavit that they completed the training- This is NOT a waiver- it's another way to document training completion.
- If trained by a former employer-
 - Follow above process

Must document training on jurisdiction's rules/statutes

Standard 2 – Trained Regulatory Staff

Step 2: Initial Field Training



(Pages 2-14 thru 2-15, Program Standards Manual)

Criteria	Element	Jurisdiction's Self-Assessment YES	Jurisdiction's Self-Assessment NO	Self-Assessor's General Comments	Auditor's Verification YES	Auditor's Verification NO	If NO, Auditor is to specify why criterion is not met
2. Initial Field Training	a) The jurisdiction maintains a written training record that provides confirmation that each employee completed a minimum of 25 joint field training inspections of retail food and/or foodservice establishments (if less than 25 joint field training inspections are performed, written documentation on file that FSIO has successfully demonstrated all required inspection competencies) PRIOR to conducting retail food or foodservice inspections.						
2. Initial Field Training	b) The jurisdiction maintains a written training record that provides confirmation that each employee successfully completed a field training process similar to that contained in the CFP Field Training Manual provided in Appendix B-2, Standard 2, PRIOR to conducting independent inspections of retail food and/or foodservice establishments.						

Standard 2 – Trained Regulatory Staff

Step 2: Initial Field Training



(Page 2-4 thru 2-5, Program Standards Manual)

- Written documentation that employees completed a **minimum of 25 joint field training inspections**, **OR** **written documentation** that employees demonstrated all required inspection competencies
- Written documentation that employees **successfully completed a field training process** (similar to that contained in the CFP Field Training Manual)

Standard 2 – Trained Regulatory Staff CFP Model Training Plan

[Conference for Food Protection \(CFP\) Field Training Manual for Regulatory Retail Food Safety and Inspection Officers \(2020 CFP Update\) | Conference-Developed Guides and Documents | Conference for Food Protection](#)

Provides a structured approach for:

- Identifying the training content,
- Determining training methods, and
- Tracking the FSIO's progress in demonstrating performance elements and competencies specific to their job

Incorporates a variety of training methods

Standard 2 – Trained Regulatory Staff

Creating a Training Plan using the CFP Field Training Manual (optional)

The manual covers four elements when developing a training plan for FSIOs:

- Determine the performance elements to be included in the training plan
- Determine the competencies for each selected performance element
- Determine need for additional performance elements and competencies
- Determine the appropriate training method for each competency

Standard 2 – Trained Regulatory Staff

CFP Field Training Plan-

Six Inspection Training Areas

1. Pre- Inspection
2. Inspection observations and performance
3. Oral communication
4. Written communication
5. Professionalism
6. Additional inspection areas (jurisdictions can add performance elements and competencies not contained in the *CFP Training Plan and Log*)

Standard 2 – Trained Regulatory Staff CFP Field Training Plan and Log Coversheet

**Conference for Food Protection
TRAINING PLAN and LOG
Retail Food, Restaurant, and Institutional Foodservice
Food Safety Inspection Officer**

NOTE: The CFP Field Training Manual for Regulatory Retail Food Safety Inspection Officers (FSIOs) should be reviewed prior to using the CFP Training Plan and Log. The manual provides jurisdictions with information that will be helpful in customizing a FSIO training plan and implementing a training process that meets the specific needs of the jurisdiction.

Food Safety Inspection Officer's (FSIO) Name: Richard Bryan	Start Date of the Training Process: 10-22-18
Food Safety Inspection Officer's (FSIO) Agency: Kings County Health Department	
Trainer's Name (if multiple trainers list all): 1. Johnny Blanchard	Trainer's Agency: Kings County Health Department
2. Whitey Ford	Kings County Health Department
3.	
4.	
<small>Signatures below indicate FSIO has completed all curriculum and field training elements and is ready to conduct independent retail food and/or foodservice inspections.</small>	
Completion Date of Pre-requisite Coursework: 2-6-19 OPTION 1: <input checked="" type="checkbox"/> or OPTION 2: <input type="checkbox"/>	
Completion Date - (Performance Element & Competencies): 3-12-19	
Food Safety Inspection Officer's (FSIO) Signature: <i>Richard Bryan</i>	Trainer's or Food Program Manager's Signature: <i>Johnny Blanchard</i> <i>Whitey Ford</i>

The CFP Field Training Manual for Regulatory Retail Food Safety Inspection Officers includes two components. One includes completion of pre-requisite coursework outlined in Program Standard 2 – Trained Regulatory Staff, FDA Draft Voluntary National Retail Food Regulatory Program Standards. The second component focuses on the FSIO's ability to demonstrate performance element competencies that are needed to conduct effective regulatory food safety inspections. A FSIO should successfully complete both components prior to conducting independent inspections.

PRE-REQUISITE COURSEWORK

The CFP Field Training Manual outlines the courses included in the pre-requisite curriculum and provides options for completing this component of the CFP training process. A jurisdiction can begin the field training process with FSIOs while they are still in the process of completing their pre-requisite coursework. The jurisdiction's trainers and/or food program managers are given the discretion to determine the appropriate time frame within which FSIOs are to complete pre-requisite course work during the field training process.



Standard 2 – Trained Regulatory Staff

Step 2: Initial Field Training

(Pages 2-4 thru 2-5, Program Standards Manual)

(*indicates completion date required)

No.	Employee Name	Date of Hire or Assignment to the Retail Food Program	Completion of Training Prerequisite ("Pre") Curriculum* (Prior to conducting independent inspections)	Completion of a Minimum of 25 Joint Field Training Inspections* AND Successful completion of a field training process similar to the CFP Field Training Manual in Appendix B-2	Completion of a Minimum 25 Independent Inspections* AND "Post" Curriculum Courses* (within 24 months of hire or assignment to the Retail Food Program)	Completion of Field Standardization* (within 24 months of hire or assignment to the Retail Food Program)	Number of Education Contact Hours (Minimum of 20 Contact Hours Every 3 Years)	Meets the Standard 2 Criteria YES or No
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9	Madison Hall	4-25-2022	8-1-22	10-20-22	4-29-23	Standardized 6-24-23	24	YES
10	Joseph Rockdale	5-1-2019	10-25-19	11-11-19	12-15-19	Standardized 10-1-20	8	NO

1. Ninety percent (90% of the staff must meet each training element for the Jurisdiction to meet Standard 2-Trained Regulatory Staff

2. Based on the documentation from this worksheet, record your finding for each of the items on the *Standard 2: Program Self-Assessment and Verification Audit Form*

Standard 2 – Trained Regulatory Staff

Step 2: Initial Field Training



(Pages 2-4 thru 2-5, Program Standards Manual)

Documentation that employees completed at least **25 joint field training inspections, OR documentation** that employees demonstrated required inspection competencies with fewer than 25.

- Mix of trainer and trainee led
- Risk Category 2, 3, 4
- Trainer is someone who has completed Steps 1-3
- Experienced staff or experienced new hires-
 - Supervisor can provide written statement or affidavit waiving joint inspections based on background and experience

Standard 2 – Trained Regulatory Staff

Step 3: Independent Inspections/Post Curriculum

(Page 2-15, Program Standards Manual)

Criteria	Element	Jurisdiction's Self-Assessment YES	Jurisdiction's Self-Assessment NO	Self-Assessor's General Comments	Auditor's Verification YES	Auditor's Verification NO	If NO, Auditor is to specify why criterion is not met
3. Independent Inspections / Completion of ALL Curriculum Requirements	a) The jurisdiction maintains a written training record that provides confirmation that each employee completed a minimum of 25 independent retail food and/or foodservice inspections PRIOR to field standardization.						
3. Independent Inspections / Completion of ALL Curriculum Requirements	b) The jurisdiction's written training record provides documentation that each employee has completed ALL aspects of the Standard #2 training curriculum ("Pre") and ("Post") courses prior to field standardization.						

Standard 2 – Trained Regulatory Staff

Step 3: Independent Inspection/ Post Curriculum

(Page 2-6, Program Standards Manual)

Within 24 months of hire or assignment to the retail food protection program, the employee is to complete:

- A minimum of 25 independent inspections

AND

- The “Post” curriculum coursework outlined in Appendix B-1

Standard 2 – Trained Regulatory Staff

Step 3: Independent Inspection/ Post Curriculum

(Pages 2-27 thru 2-28, Appendix B-1, Program Standards Manual)

MICROBIOLOGY

Courses	Course Number
7C-Control by Retorting	MIC10 (90)
8-Technology-Based Food Processes	MIC11 (120)
9-Natural Toxins	MIC12 (90)

HACCP

Courses	Course Number
1. Overview of HACCP	FDA16 (60)
2. Prerequisite Programs & Preliminary Steps	FDA17 (60)
3. The Principles	FDA18 (60)

ALLERGEN MANAGEMENT

Courses	Course Number
1. Allergens	CC8029W Course must be accessed through LearnEd at: https://fdaoted.csod.com/

Standard 2 – Trained Regulatory Staff

Step 3: Independent Insp/ Post Curriculum (cont.)

(Pages 2-27 thru 2-28, Appendix B-1, Program Standards Manual)

EPIDEMIOLOGY

Courses	Course Number
1. Collecting Surveillance Data	FI01 (90)
2. Beginning the Investigation	FI02 (90)
3. Expanding the Investigation	FI03 (90)
4. Conducting a Food Hazard Review	FI04 (90)
5. Epidemiological Statistics	FI05 (90)
6. Final Report	FI06 (30)

EMERGENCY MANAGEMENT – FEMA

Incident Command System and National Incident Management System: Course available from FEMA web link <http://training.fema.gov/IS/NIMS.asp>

Courses	Course Number
1. Introduction to Incident Command System	IS-100.C, Introduction to the Incident Command System, (180) ICS-100 for FDA
2. Basic Incident Command System for Initial Response	IS-200.C, Basic Incident Command System for Initial Response (180)
3. An Introduction to NIMS	IS 700.B, An Introduction to NIMS, (180) ICS-700

Standard 2 – Trained Regulatory Staff

Step 4: Field Standardization



(Page 2-16, Program Standards Manual)

Criteria	Element	Jurisdiction's Self-Assessment YES	Jurisdiction's Self-Assessment NO	Self-Assessor's General Comments	Auditor's Verification YES	Auditor's Verification NO	If NO, Auditor is to specify why criterion is not met
4. Field Standardization	a) The jurisdiction maintains a written training record that provides documentation that each employee successfully completed a Standardization process similar to the FDA Procedures for Standardization within 24 months of hire or assignment to the retail food protection program.						
4. Field Standardization	b) The jurisdiction maintains a written training record that provides documentation that each standardized employee has maintained their standardization by performing a minimum of 4 joint inspections with a "training standard" every 3 years.						

Standard 2 – Trained Regulatory Staff

Step 4: Field Standardization

(Pages 2-7 thru 2-8, Program Standards Manual)

Written documentation that each employee has:

- Successfully completed a **minimum of 4 joint inspections** with a **training standard** using a process similar to the FDA Standardization procedure
- Successfully maintained their standardization status by completing a **minimum of 4 joint inspections** with a **training standard** using a process similar to the FDA Standardization procedure every 3 years



Standard 2 – Trained Regulatory Staff

Step 4: Field Standardization

(Pages 2-7 thru 2-8, Program Standards Manual)

(*indicates completion date required)

No.	Employee Name	Date of Hire or Assignment to the Retail Food Program	Completion of Training Prerequisite ("Pre") Curriculum* (Prior to conducting independent inspections)	Completion of a Minimum of 25 Joint Field Training Inspections* AND Successful completion of a field training process similar to the CFP Field Training Manual in Appendix B-2	Completion of a Minimum 25 Independent Inspections* AND "Post" Curriculum Courses* (within 24 months of hire or assignment to the Retail Food Program)	Completion of Field Standardization* (within 24 months of hire or assignment to the Retail Food Program)	Number of Education Contact Hours (Minimum of 20 Contact Hours Every 3 Years)	Meets the Standard 2 Criteria YES or No
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1. Ninety percent (90% of the staff must meet each training element for the Jurisdiction to meet Standard 2-Trained Regulatory Staff.

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Standard 2 – Trained Regulatory Staff

Step 5: Continuing Education & Training



(Page 2-16, Program Standards Manual)

Criteria	Element	Jurisdiction's Self-Assessment YES	Jurisdiction's Self-Assessment NO	Self-Assessor's General Comments	Auditor's Verification YES	Auditor's Verification NO	If NO, Auditor is to specify why criterion is not met
5. Continuing Education and Training	a) The jurisdiction maintains a written training record that provides documentation that each employee conducting retail food and/or foodservice inspections has accumulated 20 hours of continuing education every 36 months after the initial training (24 months) is completed.						

Standard 2 – Trained Regulatory Staff

Step 5: Continuing Education and Training

(Page 2-8 thru 2-9, Program Standards Manual)

Completion of **20 contact hours** of continuing food safety education **every 36 months** after initial training is completed

- Methods for obtaining CE hours are also provided in the Program Standards Manual

Standard 2 – Trained Regulatory Staff

Step 5: Continuing Education & Training

(Page 2-8 thru 2-9, Program Standards Manual)

(*indicates completion date required)

No.	Employee Name	Date of Hire or Assignment to the Retail Food Program	Completion of Training Pre-requisite ("Pre") Curriculum* (Prior to conducting independent inspections)	Completion of a Minimum of 25 Joint Field Training Inspections* AND Successful completion of a field training process similar to the CFP Field Training Manual in Appendix B-2	Completion of a Minimum 25 Independent Inspections* AND "Post" Curriculum Courses* (within 24 months of hire or assignment to the Retail Food Program)	Completion of Field Standardization* (within 24 months of hire or assignment to the Retail Food Program)	Number of Education Contact Hours (Minimum of 20 Contact Hours Every 3 Years)	Meets the Standard 2 Criteria YES or No
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Standard 2 – Trained Regulatory Staff Performance Criteria



(Page 2-2, Program Standards Manual)

Ninety percent (90%) of the regulatory retail food program inspection staff shall have successfully completed:

- Steps 1-4 within 24 months of hire or assignment to the retail food program
- Step 5 every 36 months after the initial 24 months of training

Standard 2 – Trained Regulatory Staff Performance Criteria (Page 2-2, Program Standards Manual)



(*indicates completion date required)

No.	Employee Name	Date of Hire or Assignment to the Retail Food Program	Completion of Training Prerequisite ("Pre") Curriculum* (Prior to conducting independent inspections)	Completion of a Minimum of 25 Joint Field Training Inspections* AND Successful completion of a field training process similar to the CFP Field Training Manual in Appendix B-2	Completion of a Minimum 25 Independent Inspections* AND "Post" Curriculum Courses* (within 24 months of hire or assignment to the Retail Food Program)	Completion of Field Standardization* (within 24 months of hire or assignment to the Retail Food Program)	Number of Education Contact Hours (Minimum of 20 Contact Hours Every 3 Years)	Meets the Standard 2 Criteria YES or No
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Participant Manual

Standard 2

Question 1

Page 14

Standard 2 – Trained Regulatory Staff Five Core Requirements/Steps

(Page 2-2, Program Standards Manual)

- Step 1: Pre-Inspection Curriculum
- Step 2: Joint Field Training
[CFP Field Training Manual \(Updated 2020 CFP\)](#)
- Step 3: Independent Inspections
[Completion of Curriculum \(designated as “Post” courses\)](#)
- Step 4: Standardization
- Step 5: Continuing Education

Participant Manual

Standard 2

Question 2

Page 15

Standard 2 – Trained Regulatory Staff

Step 1: Pre-Curriculum

(Pages 2-3 thru 2-4, Program Standards Manual)

(*indicates completion date required)

No.	Employee Name	Date of Hire or Assignment to the Retail Food Program	Completion of Training Prerequisite ("Pre") Curriculum* (Prior to conducting independent inspections)	Completion of a Minimum of 25 Joint Field Training Inspections* AND Successful completion of a field training process similar to the CFP Field Training Manual in Appendix B-2	Completion of a Minimum 25 Independent Inspections* AND "Post" Curriculum Courses* (within 24 months of hire or assignment to the Retail Food Program)	Completion of Field Standardization* (within 24 months of hire or assignment to the Retail Food Program)	Number of Education Contact Hours (Minimum of 20 Contact Hours Every 3 Years)	Meets the Standard 2 Criteria YES or No
1	Billie Sims	9-21-1985	Previous coursework meets the standard	Waived, completed previous field training; records on file	Records on file:>500 independent inspections	Standardized 10-11-23	20	YES
2	Steven Owens	9-22-1995	Previous coursework meets the standard	Waived, completed previous field training; records on file	Records on file:>500 independent inspections	Standardized 12-22-23	0	YES
3	Jamie Holloway	3-6-2015	6-15-15	7-2-15	8-1-15	Re-Standardized 3-17-22	20	YES
4	Sue Scooner	11-1-2016	12-22-16	12-31-16	3-11-17	Re-Standardized 4-21-23	32	YES
5	Richard Bryan	10-22-2021	2-6-22	3-12-22	4-17-22	Standardized 1-5-23	0	YES
6	Jackson Clayton	8-8-2010	Previous coursework meets the standard	Waived, completed previous field training; records on file	Records on file:>500 independent inspections	Re-Standardized 9-21-22	20	YES
7	Joseph Pruitt	7-5-2021	11-1-21	1-12-22	8-5-22	Standardized 1-2-23	36	YES
8	Greg Washington	4-25-2017	9-26-17	10-27-17	12-3-17	Re-Standardized 9-12-23	20	YES
9	Madison Hall	4-25-2022	8-1-22	10-20-22	4-29-23	Standardized 6-24-23	24	YES
10	Joseph Rockdale	5-1-2019	10-25-19	11-11-19	12-15-19	Standardized 10-1-20	8	NO

1. Ninety percent (90% of the staff must meet each training element for the Jurisdiction to meet Standard 2-Trained Regulatory Staff.

2. Based on the documentation from this worksheet, record your finding for each of the items on the *Standard 2: Program Self-Assessment and Verification Audit Form*

Standard 2 – Trained Regulatory Staff

Step 1: Pre-Curriculum



(Pages 2-3 thru 2-4, Program Standards Manual)

Knowledge Assessment **OPTIONS**

1. FDA's ORA-U course/exam module,
or
2. Equivalent Curriculum

Participant Manual

Standard 2

Question 3

Page 16

Standard 2 – Trained Regulatory Staff

Step 2: Initial Field Training

(Pages 2-4 thru 2-5, Program Standards Manual)



(*indicates completion date required)

No.	Employee Name	Date of Hire or Assignment to the Retail Food Program	Completion of Training Pre-requisite ("Pre") Curriculum* (Prior to conducting independent inspections)	Completion of a Minimum of 25 Joint Field Training Inspections* AND Successful completion of a field training process similar to the CFP Field Training Manual in Appendix B.2	Completion of a Minimum 25 Independent Inspections* AND "Post" Curriculum Courses* (within 24 months of hire or assignment to the Retail Food Program)	Completion of Field Standardization* (within 24 months of hire or assignment to the Retail Food Program)	Number of Education Contact Hours (Minimum of 20 Contact Hours Every 3 Years)	Meets the Standard 2 Criteria YES or No
1	Billie Sims	9-21-1985	Previous coursework meets the standard	Waived, completed previous field training; records on file	Records on file:>500 independent inspections	Standardized 10-11-23	20	YES
2	Steven Owens	9-22-1995	Previous coursework meets the standard	Waived, completed previous field training; records on file	Records on file:>500 independent inspections	Standardized 12-22-23	0	YES
3	Jamie Holloway	3-6-2015	6-15-15	7-2-15	8-1-15	Re-Standardized 3-17-22	20	YES
4	Sue Scooner	11-1-2016	12-22-16	12-31-16	3-11-17	Re-Standardized 4-21-23	32	YES
5	Richard Bryan	10-22-2021	2-6-22	3-12-22	4-17-22	Standardized 1-5-23	0	YES
6	Jackson Clayton	8-8-2010	Previous coursework meets the standard	Waived, completed previous field training; records on file	Records on file:>500 independent inspections	Re-Standardized 9-21-22	20	YES
7	Joseph Pruitt	7-5-2021	11-1-21	1-12-22	8-5-22	Standardized 1-2-23	36	YES
8	Greg Washington	4-25-2017	9-26-17	10-27-17	12-3-17	Re-Standardized 9-12-23	20	YES
9	Madison Hall	4-25-2022	8-1-22	10-20-22	4-29-23	Standardized 6-24-23	24	YES
10	Joseph Rockdale	5-1-2019	10-25-19	11-11-19	12-15-19	Standardized 10-1-20	8	NO

1. Ninety percent (90% of the staff must meet each training element for the Jurisdiction to meet Standard 2-Trained Regulatory Staff.

2. Based on the documentation from this worksheet, record your finding for each of the items on the *Standard 2: Program Self-Assessment and Verification Audit Form*

Participant Manual

Standard 2

Question 4

Page 16

Standard 2 – Trained Regulatory Staff

Step 4: Field Standardization

(Pages 2-7 thru 2-8, Program Standards Manual)

(*indicates completion date required)

No.	Employee Name	Date of Hire or Assignment to the Retail Food Program	Completion of Training Prerequisite ("Pre") Curriculum* (Prior to conducting independent inspections)	Completion of a Minimum of 25 Joint Field Training Inspections* AND Successful completion of a field training process similar to the CFP Field Training Manual in Appendix B-2	Completion of a Minimum 25 Independent Inspections* AND "Post" Curriculum Courses* (within 24 months of hire or assignment to the Retail Food Program)	Completion of Field Standardization* (within 24 months of hire or assignment to the Retail Food Program)	Number of Education Contact Hours (Minimum of 20 Contact Hours Every 3 Years)	Meets the Standard 2 Criteria YES or No
1	Billie Sims	9-21-1985	Previous coursework meets the standard	Waived, completed previous field training; records on file	Records on file:>500 independent inspections	Standardized 10-11-23	20	YES
2	Steven Owens	9-22-1995	Previous coursework meets the standard	Waived, completed previous field training; records on file	Records on file:>500 independent inspections	Standardized 12-22-23	0	YES
3	Jamie Holloway	3-6-2015	6-15-15	7-2-15	8-1-15	Re-Standardized 3-17-22	20	YES
4	Sue Scooner	11-1-2016	12-22-16	12-31-16	3-11-17	Re-Standardized 4-21-23	32	YES
5	Richard Bryan	10-22-2021	2-6-22	3-12-22	4-17-22	Standardized 1-5-23	0	YES
6	Jackson Clayton	8-8-2010	Previous coursework meets the standard	Waived, completed previous field training; records on file	Records on file:>500 independent inspections	Re-Standardized 9-21-22	20	YES
7	Joseph Pruitt	7-5-2021	11-1-21	1-12-22	8-5-22	Standardized 1-2-23	36	YES
8	Greg Washington	4-25-2017	9-26-17	10-27-17	12-3-17	Re-Standardized 9-12-23	20	YES
9	Madison Hall	4-25-2022	8-1-22	10-20-22	4-29-23	Standardized 6-24-23	24	YES
10	Joseph Rockdale	5-1-2019	10-25-19	11-11-19	12-15-19	Standardized 10-1-20	8	NO

1. Ninety percent (90% of the staff must meet each training element for the Jurisdiction to meet Standard 2-Trained Regulatory Staff.

2. Based on the documentation from this worksheet, record your finding for each of the items on the *Standard 2: Program Self-Assessment and Verification Audit Form*

Participant Manual

Standard 2

Question 5

Page 16

Standard 2 – Trained Regulatory Staff

Step 5: Continuing Education & Training



(Page 2-8 thru 2-9, Program Standards Manual)

(*indicates completion date required)

No.	Employee Name	Date of Hire or Assignment to the Retail Food Program	Completion of Training Pre-requisite ("Pre") Curriculum* (Prior to conducting independent inspections)	Completion of a Minimum of 25 Joint Field Training Inspections* AND Successful completion of a field training process similar to the CFP Field Training Manual in Appendix B-2	Completion of a Minimum 25 Independent Inspections* AND "Post" Curriculum Courses* (within 24 months of hire or assignment to the Retail Food Program)	Completion of Field Standardization* (within 24 months of hire or assignment to the Retail Food Program)	Number of Education Contact Hours (Minimum of 20 Contact Hours Every 3 Years)	Meets the Standard 2 Criteria YES or No
1	Billie Sims	9-21-1985	Previous coursework meets the standard	Waived, completed previous field training; records on file	Records on file:>500 independent inspections	Standardized 10-11-23	20	YES
2	Steven Owens	9-22-1995	Previous coursework meets the standard	Waived, completed previous field training; records on file	Records on file:>500 independent inspections	Standardized 12-22-23	0	YES
3	Jamie Holloway	3-6-2015	6-15-15	7-2-15	8-1-15	Re-Standardized 3-17-22	20	YES
4	Sue Scooner	11-1-2016	12-22-16	12-31-16	3-11-17	Re-Standardized 4-21-23	32	YES
5	Richard Bryan	10-22-2021	2-6-22	3-12-22	4-17-22	Standardized 1-5-23	0	YES
6	Jackson Clayton	8-8-2010	Previous coursework meets the standard	Waived, completed previous field training; records on file	Records on file:>500 independent inspections	Re-Standardized 9-21-22	20	YES
7	Joseph Pruitt	7-5-2021	11-1-21	1-12-22	8-5-22	Standardized 1-2-23	36	YES
8	Greg Washington	4-25-2017	9-26-17	10-27-17	12-3-17	Re-Standardized 9-12-23	20	YES
9	Madison Hall	4-25-2022	8-1-22	10-20-22	4-29-23	Standardized 6-24-23	24	YES
10	Joseph Rockdale	5-1-2019	10-25-19	11-11-19	12-15-19	Standardized 10-1-20	8	NO

1. Ninety percent (90% of the staff must meet each training element for the Jurisdiction to meet Standard 2-Trained Regulatory Staff.

2. Based on the documentation from this worksheet, record your finding for each of the items on the *Standard 2: Program Self-Assessment and Verification Audit Form*

Participant Manual

Standard 2

Question 6

Page 17

Standard 2 – Trained Regulatory Staff Performance Criteria

(Page 2-2, Program Standards Manual)

Ninety percent (90%) of the regulatory retail food program inspection staff shall have successfully completed:

- Steps 1-4 within 24 months of hire or assignment to the retail food program
- Step 5 every 36 months after the initial 24 months of training

STANDARD 2 SELF-ASSESSMENT PROCESS QUESTIONS



Standard 1 Regulatory Foundation

Preparing for the Self-Assessment



Preparing for the Standard 1 Self-Assessment

Source Documents

- Copy of Program Standard 1
- Clearinghouse Interpretations
- Jurisdiction's Regulations/Ordinance
- Written Policies or Interpretations that carry the same weight as prevailing rules and regulations
- Copy of the current version of the FDA Food Code
<http://www.fda.gov/FoodCode>

Preparing for the Standard 1 Self-Assessment Forms and Worksheets



<http://www.fda.gov/retailprogramstandards>

A screenshot of the FDA website page titled "Voluntary National Retail Food Regulatory Program Standards". The page features a dark blue header with the FDA logo and navigation links. Below the header is a breadcrumb trail: "Home / Food / Guidance & Regulation (Food and Dietary Supplements) / Retail Food Protection / Voluntary National Retail Food Regulatory Program Standards". The main heading is "Voluntary National Retail Food Regulatory Program Standards". At the bottom of the page, there are social media sharing buttons for Facebook, Twitter, LinkedIn, Email, and Print.

FDA U.S. FOOD & DRUG ADMINISTRATION

← Home / Food / Guidance & Regulation (Food and Dietary Supplements) / Retail Food Protection / Voluntary National Retail Food Regulatory Program Standards

Voluntary National Retail Food Regulatory Program Standards

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Standard 1: Regulatory Foundation

- [Standard 1 \(PDF: 90KB\)](#)
- [Standard 1 – Self-Assessment and Verification Audit Form \(PDF: 776KB\)](#)
- [Standard 1 – Self-Assessment Instructions and Worksheet for Part I \(PDF: 387KB\)](#)
- [Standard 1 – Self-Assessment Instructions and Worksheet for Part II \(PDF: 1.1MB\)](#)
- [Standard 1 – Self-Assessment Instructions and Worksheet for Part III \(PDF: 234KB\)](#)
- [Standard 1 – Verification Audit Instructions and Worksheet for Part I \(PDF: 720KB\)](#)
- [Standard 1 – Verification Audit Instructions and Worksheet for Part II \(PDF: 687KB\)](#)
- [Standard 1 – Verification Audit Instructions and Worksheet for Part III \(PDF: 683KB\)](#)

Standard 1

Regulatory Foundation

Conducting the Self-Assessment



Standard 1

Regulatory Foundation

Regulatory foundation includes any statute, regulation, rule, ordinance, or other set of prevailing set of regulatory requirements.

Standard 1 – Regulatory Foundation

Four Core Requirements

(Page 1-2, Standards Manual)

1. Assessment of the Program's Regulatory Foundation
(side-by-side comparison of the Jurisdiction's Food Code to the FDA Food Code)
2. Food Code Interventions and Risk Factors
3. Good Retail Practices
4. Compliance and Enforcement

Standard 1 – Regulatory Foundation

Step 1: Assessment of Program’s Regulatory Foundation



(Page 1-7, Standards Manual)

Criteria	Element	Jurisdiction’s Self-Assessment YES	Jurisdiction’s Self-Assessment NO	Self-Assessor’s General Comments	Auditor’s Verification YES	Auditor’s Verification NO	If NO, Auditor is to specify why criterion is not met
1. Assessment of the Program’s Regulatory Foundation	a) The jurisdiction has documentation that it has performed a side-by-side comparison of its prevailing statutes, regulations, rules, and other pertinent requirements against the current published edition of the <i>FDA Food Code</i> or one of the two most recent previous editions of the <i>FDA Food Code</i> .						
1. Assessment of the Program’s Regulatory Foundation	b) The jurisdiction’s side-by-side comparison includes an assessment of major Food Code Interventions and Risk Factors, Good Retail Practices, and Compliance/ Enforcement Administrative requirements.						
1. Assessment of the Program’s Regulatory Foundation	c) The regulatory foundation assessment clearly identifies the jurisdiction’s corresponding requirement to the applicable <i>Code</i> section. The assessment provides a determination as to whether a specific provision in the jurisdiction’s regulation meets the intent of the corresponding <i>FDA Food Code</i> section.						

Standard 1 – Regulatory Foundation

Step 1: Assessment of Program's Regulatory Foundation



(Pages 1-2 and 1-3, Standards Manual)

Jurisdiction has documentation of:

- Side-by-side comparison of its requirements against the FDA Food Code
- Side-by-side comparison includes provisions for:
 - Food Code Risk Factors & Interventions
 - Good Retail Practices
 - Compliance and Enforcement
- Identifies the jurisdiction's corresponding requirement to the applicable FDA Food Code Section

Standard 1 – Regulatory Foundation

Part I Worksheet: Risk Factors and Interventions

<http://www.fda.gov/retailprogramstandards>



The screenshot shows the FDA website header with the logo and navigation links. The main heading is "Voluntary National Retail Food Regulatory Program Standards". Below the heading are social media sharing buttons for Facebook, Twitter, LinkedIn, Email, and Print. The breadcrumb trail indicates the page is under "Home / Food / Guidance & Regulation (Food and Dietary Supplements) / Retail Food Protection / Voluntary National Retail Food Regulatory Program Standards".

Standard 1: Regulatory Foundation

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- [Standard 1 – Verification Audit Instructions and Worksheet for Part III \(PDF: 683KB\)](#)



Standard 1

Part I

Interventions and Risk Factors

Self-Assessment

Standard 1 – Regulatory Foundation



Step 2: Food Code Interventions & Risk Factors

(Pages 1-7 and 1-8, Standards Manual)

Criteria	Element	Jurisdiction's Self-Assessment YES	Jurisdiction's Self-Assessment NO	Self-Assessor's General Comments	Auditor's Verification YES	Auditor's Verification NO	If NO, Auditor is to specify why criterion is not met
2. Food Code Interventions and Risk Factors	<p>a) The jurisdiction's initial Food Code assessment indicates that the agency's regulatory requirements contain at least 9 of the 11 <i>FDA Food Code</i> intervention and risk factor controls. By the third verification audit the jurisdiction's assessment indicates that the agency's regulatory requirements contain all 11 of the <i>FDA Food Code</i> intervention and risk factor controls.</p> <p><i>Part I - Self-Assessment Worksheet</i> <i>Part I - Verification Audit Worksheet</i></p>						
2. Food Code Interventions and Risk Factors	<p>b) The jurisdiction's Food Code assessment indicates that the agency has a corresponding requirement for ALL FDA Food Code provisions related to the interventions and risk factor controls.</p> <p><i>NOTE: Auditor's random selection of Food Code Intervention and Risk Factor Control Sections confirms the jurisdiction's assessment that a corresponding requirement is contained in the agency's rules, regulations, ordinances, code, or statutes.</i></p>						

Standard 1 – Regulatory Foundation

Part I Worksheet: Risk Factors and Interventions



(Pages 1-13 thru 1-24, Standards Manual)

PART I – 2017 Food Code: Interventions and Risk Factor Controls

SECTION 1 – DEMONSTRATION OF KNOWLEDGE

<i>Food Code Section</i>	Jurisdiction's Corresponding Code Section, Rule, etc.	<u>YES</u> Full Intent is Met	<u>Partial Compliance</u> List what is not covered (Additional sheets can be used for explanations and comments)	<u>NO</u> Compliance with the <i>Food Code</i> section is NOT Met (Indicate the Situation)
1. 2-101.11 – Assignment				
2. 2-102.11 – Demonstration				
3. 2-102.12 – Certified Food Protection Manager				
4. 2-103.11 – Person in Charge				

Standard 1 – Regulatory Foundation

Part I Worksheet: Risk Factors and Interventions



(Page 1-13 thru 1-14, Standards Manual)

SECTION 2 – EMPLOYEE HEALTH

<i>Food Code</i> Section	Jurisdiction's Corresponding Code Section, Rule, etc.	<u>YES</u> Full Intent is Met	<u>Partial Compliance</u> List what is not covered (Additional sheets can be used for explanations and comments)	<u>NO</u> Compliance with the <i>Food Code</i> section is NOT Met (Indicate the Situation)
5. 2-201.11 – Responsibility of Permit Holder, Person in Charge, and Conditional Employees		X		
6. 2-201.12 – Exclusions and Restrictions		X		
7. 2-201.13 – Removal, Adjustment, or Retention of Exclusions and Restrictions		X		
8. 2-501.11– Clean-up of Vomiting and Diarrheal Events		X		

Standard 1 – Regulatory Foundation

Part I Worksheet: Risk Factors and Interventions



(Pages 1-25, Standards Manual)

Standard 1: Regulatory Foundation Self-Assessment Worksheet

Part I – 2017 Food Code: Interventions and Risk Factor Controls Self-Assessment Results

<i>Food Code</i> Section and Description	YES Standard Criteria Met	NO Standard Criteria Not Met	Self-Assessor's General Comments
1. Demonstration of Knowledge	✗		
2. Employee Health	✗		
3. Consumer Advisory		✗	No consumer advisory provision
4. Approved Sources	✗		
5. Time/Temperature	✗		
6. Protection from Contamination	✗		
7. Control of Hands as a Vehicle of Contamination		✗	Code allows for minimal bare hand contact with RTE food
8. Good Hygienic Practices	✗		
9. Chemical	✗		
10. Conformance with Approved Procedures	✗		
11. Highly Susceptible Populations	✗		

Assessment of _____ indicates conformance with **9** out of the 11 Intervention/Risk Factor Categories (regulatory agency) (# Met)

Standard 1 – Regulatory Foundation

Part I: Food Code Interventions and Risk Factors



(Pages 1-2, Standards Manual)

Food Code assessment indicates that the jurisdiction's regulatory requirement contain at **least 9 of the 11** FDA Food Code Interventions and Risk Factor controls.

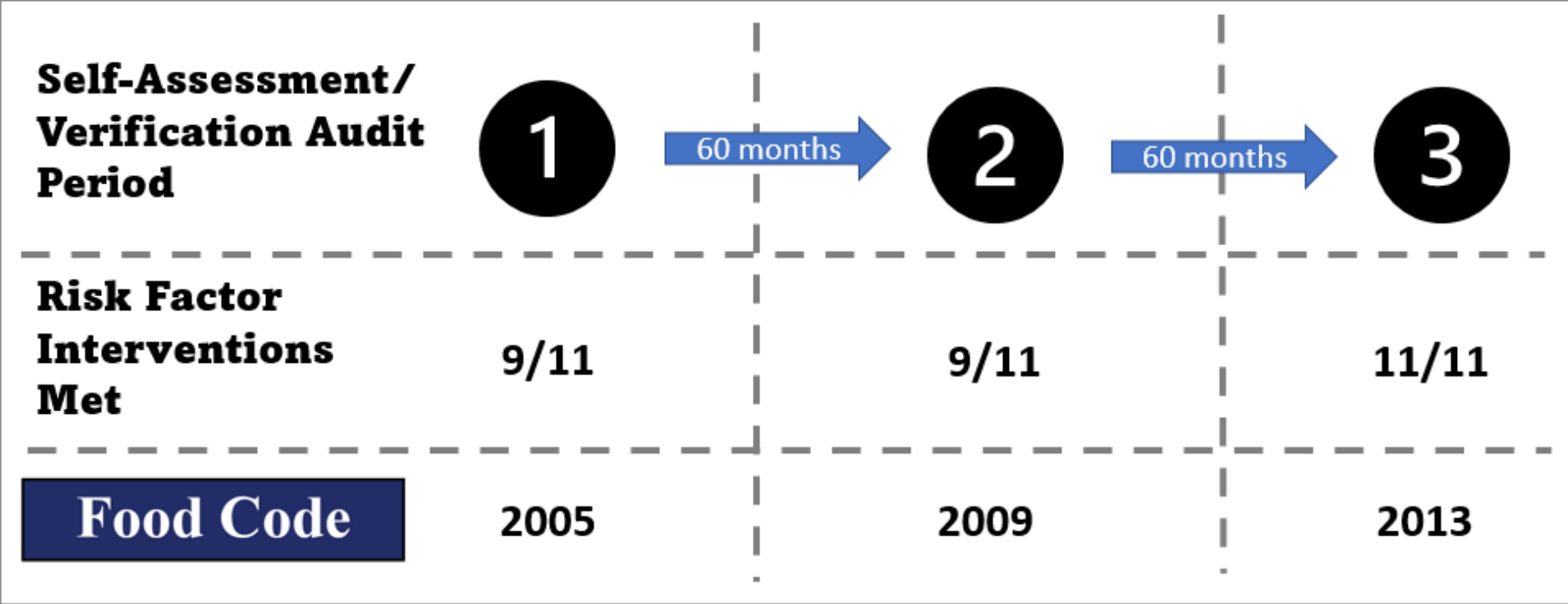
By the **third** verification audit, the jurisdiction's regulatory requirement must contain **ALL 11** Food Code Interventions and Risk Factors



Standard 1 – Regulatory Foundation

Part I: Food Code Interventions and Risk Factors

Example 1: Would this meet Standard 1?





Standard 1 – Regulatory Foundation

Part I: Food Code Interventions and Risk Factors

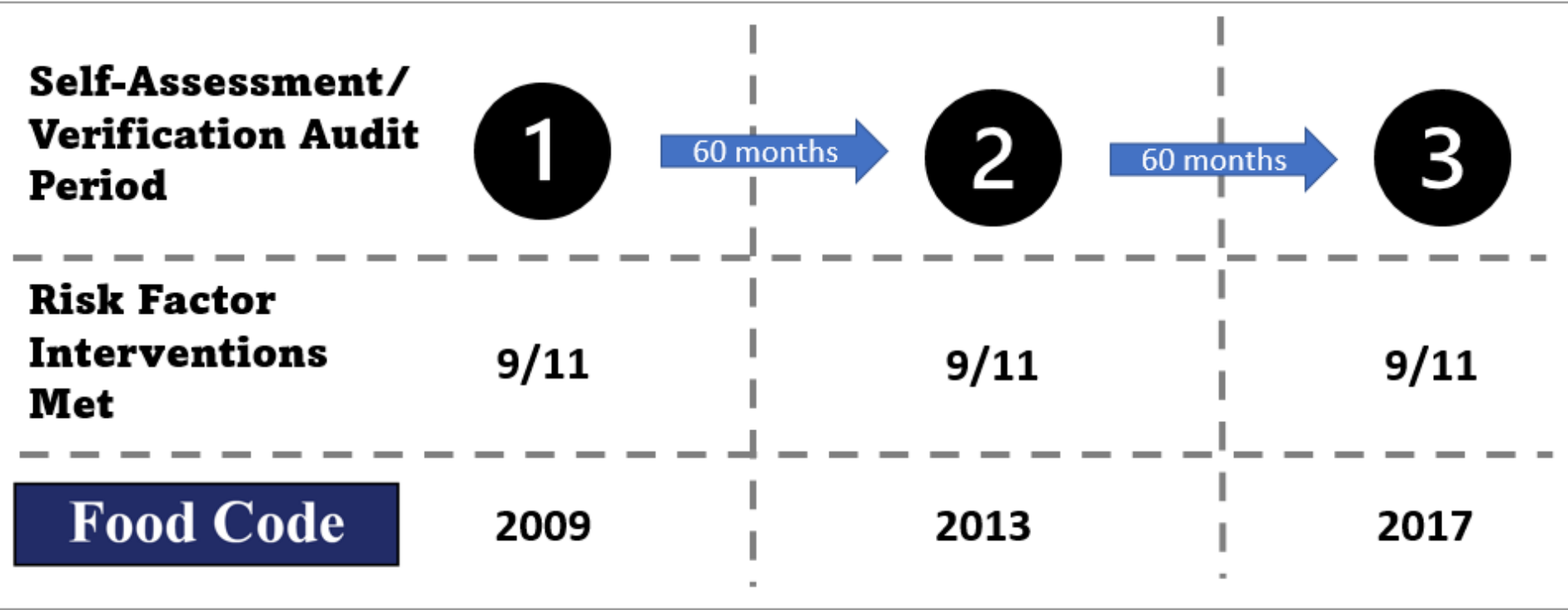
(Pages 1-2, Standards Manual)

Criteria	Element	Jurisdiction's Self-Assessment YES	Jurisdiction's Self-Assessment NO	Self-Assessor's General Comments	Auditor's Verification YES	Auditor's Verification NO	If NO, Auditor is to specify why criterion is not met
1. Assessment of the Program's Regulatory Foundation	a) The jurisdiction has documentation that it has performed a side-by-side comparison of its prevailing statutes, regulations, rules, and other pertinent requirements against the current published edition of the <i>FDA Food Code</i> or one of the two most recent previous editions of the <i>FDA Food Code</i> .						

Standard 1 – Regulatory Foundation

Part I: Food Code Interventions and Risk Factors

Example 1: Would this meet Standard 1?





Standard 1

Part II

Good Retail Practices Self-Assessment Process

Standard 1 – Regulatory Foundation

Good Retail Practices



(Pages 1-9, Standards Manual)

<p>3. Good Retail Practices</p>	<p>a) The jurisdiction's Food Code assessment indicates that regulatory requirements contain at least 95 percent of the FDA <i>Food Code</i> Good Retail Practices Sections.</p> <p><i>NOTE: Auditor's random selection of Good Retail Practices Code Sections confirms the jurisdiction's assessment that a corresponding requirement is contained in the agency's code or statutes.</i></p> <p><i>Documentation from:</i> <i>Part II - Self-Assessment Worksheet</i> <i>Part II - Verification Audit Worksheet</i></p>						
--	--	--	--	--	--	--	--

Standard 1 – Regulatory Foundation

Good Retail Practices



(Page 1-2, Standards Manual)

Regulations, codes, etc. must have a corresponding requirement for **95 percent** of the *Food Code* sections listed in Standard I, Part II, Good Retail Food Practices Worksheet.

Standard 1 – Regulatory Foundation

Good Retail Practices



STANDARD 1: REGULATORY FOUNDATION SELF-ASSESSMENT WORKSHEET PART II – 2017 Food Code: Good Retail Practices SELF-ASSESSMENT RESULTS

Standard 1: Regulatory Foundation Self-Assessment Worksheet

Part I – 2017 Food Code: Interventions and Risk Factor Controls Self-Assessment Results

<i>Food Code</i> Section and Description	YES Standard Criteria Met	NO Standard Criteria Not Met	Self-Assessor's General Comments
1. Demonstration of Knowledge			
2. Employee Health			
3. Consumer Advisory			
4. Approved Sources			
5. Time/Temperature			
6. Protection from Contamination			
7. Control of Hands as a Vehicle of Contamination			
8. Good Hygienic Practices			
9. Chemical			
10. Conformance with Approve Procedures			
11. Highly Susceptible Populations			

Assessment of _____ indicates conformance with _____ out of the 11 Intervention/Risk Factor Categories (regulatory agency) (# Met)

Section Number	Number of Provisions Met (Identified as "YES" on worksheet)	Section Description
12		Personnel
13		Food and Food Protection
14		Plant Cooking for Hot Holding
15		Protection from Contamination
16		Facilities / Methods to Control Product Temperature
17		Time/Temperature Control for Safety Food Properly Thawed
18		Dispensing Food / Utensils Properly Stored
19		Food Equipment
20		Food and Nonfood-Contact Surfaces
21		Warewashing Facilities; Designed, Constructed, Installed, Located, Operated, etc.
22		Wiping Cloths, Linens, Napkins, Gloves, Sponges: Properly Used, Stored
23		Storage, Handling of Clean Equipment, Utensils
24		Single-Service / Single Use Articles: Storage, Dispensing, Use, no Reuse
25		Safe Water Source, Hot and Cold Under Pressure, Adequate Quantity
26		Plumbing: Installed, Maintained
27		Cross Connection, Back Siphonage, Backflow Prevention
28		Number, Convenient, Accessible, Designed, Installed
29		Toilet Rooms Enclosed, Self-Closing Doors; Fixtures, Good Repair, Clean, etc.
30		Sewage and Wastewater Disposal
31		Garbage and Refuse Disposal - Containers or Receptacles: Covered, etc.
32		Physical Facility - Floors, Walls, Ceiling: Designed, Constructed, Maintained,
33		Lighting, Ventilation, Dressing Rooms / Designated Areas Maintained
34		Premises Maintained Free of Litter, Unnecessary Articles
35		Complete Separation from Living / Sleeping Quarters; Laundry
36		Presence of Insects / Rodents Minimized, Outer Openings Protected, etc.,

TOTAL NUMBER OF PROVISIONS MET (Add Column 2): _____

Divide the total number of provisions met (last line of table) by 246 and multiply by 100 to determine the percentage of the Good Retail Practices provisions contained in your code regulation. _____ %

A percentage equal to or greater than 95% meets the Regulatory Foundation for Sections 12 thru 36.

Standard 1 – Regulatory Foundation

Part II SA Worksheet: Good Retail Practices



(Pages 1-28 thru I-57, Standards Manual)

Part II – 2017 Food Code: Good Retail Practices

SECTION 12 – PERSONNEL

<i>Food Code</i> Section	Jurisdiction's Corresponding Code Section, Rule, etc.	<u>YES</u> Full Intent is Met	<u>Partial Compliance</u> List what is not covered (Additional sheets can be used for explanations and comments)	<u>NO</u> Compliance with the <i>Food Code</i> section is NOT Met (Indicate the Situation)
1. 2-302.11 - Maintenance				
2. 2-303.11 - Prohibition				
3. 2-301.11 - Clean Condition				
4. 2-402.11 - Effectiveness				
5. 6-301.14 - Handwashing Signage				

TOTAL NUMBER OF SECTION 12 PROVISIONS MARKED “YES _____ (Section 12 has a total of 5 provisions)

Standard 1 – Regulatory Foundation

Part II SA Worksheet: Good Retail Practices



(Page 1-28 thru 1-57, Standards Manual)

SECTION 14 – PLANT FOOD COOKING FOR HOT HOLDING

<i>Food Code Section</i>	Jurisdiction's Corresponding Code Section, Rule, etc.	<u>YES</u> Full Intent is Met	<u>Partial Compliance</u> List what is not covered (Additional sheets can be used for explanations and comments)	<u>NO</u> Compliance with the <i>Food Code</i> section is NOT Met (Indicate the Situation)
18. 3-401.13 - Plant Food Cooking for Hot Holding				No Food Code provision

TOTAL NUMBER OF SECTION 14 PROVISIONS MARKED “YES” 0 *(Section 14 has a total of 1 provisions)*

Standard 1 – Regulatory Foundation

Part II SA Worksheet: Good Retail Practices



Section Number	Number of Provisions Met (Identified as "YES" on worksheet)	Section Description
12	5	Personnel
13	12	Food and Food Protection
14	0	Plant Cooking for Hot Holding
15	9	Protection from Contamination
16	2	Facilities / Methods to Control Product Temperature
17	2	Time/Temperature Control for Safety Food Properly Thawed
18	3	Dispensing Food / Utensils Properly Stored
19	4	Food Equipment
20	42	Food and Nonfood-Contact Surfaces
21	26	Warewashing Facilities; Designed, Constructed, Installed, Located, Operated, etc.
22	10	Wiping Cloths, Linens, Napkins, Gloves, Sponges: Properly Used, Stored
23	6	Storage, Handling of Clean Equipment, Utensils
24	3	Single-Service / Single Use Articles: Storage, Dispensing, Use, no Reuse
25	9	Safe Water Source, Hot and Cold Under Pressure, Adequate Quantity
26	21	Plumbing: Installed, Maintained
27	6	Cross Connection, Back Siphonage, Backflow Prevention
28	2	Number, Convenient, Accessible, Designed, Installed
29	4	Toilet Rooms Enclosed, Self-Closing Doors; Fixtures, Good Repair, Clean, etc.
30	8	Sewage and Wastewater Disposal
31	17	Garbage and Refuse Disposal - Containers or Receptacles: Covered, etc.
32	16	Physical Facility - Floors, Walls, Ceiling: Designed, Constructed, Maintained,
33	11	Lighting, Ventilation, Dressing Rooms / Designated Areas Maintained
34	5	Premises Maintained Free of Litter, Unnecessary Articles
35	5	Complete Separation from Living / Sleeping Quarters; Laundry
36	6	Presence of Insects / Rodents Minimized, Outer Openings Protected, etc.,

TOTAL NUMBER OF PROVISIONS MET (Add Column 2): _____

Divide the total number of provisions met (last line of table) by 246 and multiply by 100 to determine the percentage of the Good Retail Practices provisions contained in your code regulation: _____ %

A percentage equal to or greater than 95% meets the Regulatory Foundation for Sections 12 thru 36.

Standard 1

Part III

Compliance & Enforcement Self-Assessment Process

Standard 1 – Regulatory Foundation Compliance and Enforcement



(Pages 1-10, Standards Manual)

Criteria	Element	Jurisdiction's Self-Assessment YES	Jurisdiction's Self-Assessment NO	Self-Assessor's General Comments	Auditor's Verification YES	Auditor's Verification NO	If NO, Auditor is to specify why criterion is not met
4. Compliance and Enforcement	<p>a) The jurisdiction's Food Code assessment indicates that regulatory requirements contain ALL the FDA <i>Food Code</i> Compliance and Enforcement Sections identified in the Standard.</p> <p><i>NOTE: Auditor's random selection of Compliance and Enforcement Code Sections confirms the jurisdiction's assessment that a corresponding requirement is contained in the agency's code or statutes.</i></p> <p><i>Documentation from:</i> <i>Part III - Self Assessment Worksheet</i> <i>Part III - Verification Audit Worksheet</i></p>						
GENERAL NOTES PERTAINING TO THE PROGRAM SELF-ASSESSMENT OR THE VERIFICATION AUDIT							

Standard 1 – Regulatory Foundation Compliance and Enforcement



(Pages 1-3, Standards Manual)

Regulations, etc. contain provisions that are at least as stringent as those in the *Food Code*.

To meet this element, regulations must have a corresponding requirement for each of the *Food Code* sections listed in Standard 1, Part III, Compliance and Enforcement Worksheet, Items 1-12 (Pages 1-66 thru 1-69, Standards Manual).

Standard 1 – Regulatory Foundation Compliance & Enforcement



(Pages 1-60 thru 1-62, Standards Manual)

Part III – 2017 Food Code: Compliance and Enforcement Summary

<i>Food Code Section</i>	Jurisdiction's Corresponding Code Section, Rule, etc.	<u>YES</u> Full Intent is Met	<u>Partial Compliance</u> List what is not covered (Additional sheets can be used for explanations and comments)	<u>NO</u> Compliance with the <i>Food Code</i> section is NOT Met (Indicate the Situation)
1a. Hold orders, Embargo, and Destruction of Food 8-901.10 – Conditions Warranting Remedy				
1b. Hold orders, Embargo, and Destruction of Food 8-903.10 – Hold Order, Justifying Conditions and Removal of Food				
1c. Hold orders, Embargo, and Destruction of Food 8-903.30 – Hold Order, Contents				
2a. Permit/License Required; Right to Deny 8-301.11 – Prerequisite for Operation				
2b. Permit/License Required; Right to Deny 8-304.20 – Permits Not Transferable				
3. Plan Review/Pre-operational inspections 8-201.11 – When Plans are Required				
4. Inspection Authority / Right to Access 8-402.20 – Refusal, Notification of Right to Access, and Final Request for Access				
5a. Information Authority; Restriction/Exclusion of Employees 8-501.10 – Obtaining Information: Personal History of Illness, Medical Examination, and Specimen Analysis				

Standard 1 – Regulatory Foundation Compliance & Enforcement



(Pages 1-61, Standards Manual)

<i>Food Code Section</i>	Jurisdiction's Corresponding Code Section, Rule, etc.	<u>YES</u> Full Intent is Met	<u>Partial Compliance</u> List what is not covered (Additional sheets can be used for explanations and comments)	<u>NO</u> Compliance with the <i>Food Code</i> section is NOT Met (Indicate the Situation)
7a. Granting of Variances 8-103.10 – Modifications and Waivers				
7b. Granting of Variances 8-103.11 – Documentation of Proposed Variance and Justification				
7c. Granting of Variances 8-103.12 – Conformance with Approved Procedures				
7d. Jurisdiction Does NOT Issue Variances (Variances Prohibited) Variances Prohibited				

Standard 1 – Regulatory Foundation Compliance & Enforcement



(Pages 1-62, Standards Manual)

<i>Food Code Section</i>	Jurisdiction's Corresponding Code Section, Rule, etc.	<u>YES</u> Full Intent is Met	<u>Partial Compliance</u> List what is not covered (Additional sheets can be used for explanations and comments)	<u>NO</u> Compliance with the <i>Food Code</i> section is NOT Met (Indicate the Situation)
12a. Criminal Penalties 8-911.10 - Authorities, Methods, Fines and Sentences	ARS 36-601	✘		
12b. 8-912.10 - Petitions for Injunction				
12c. Civil Penalties Provided 8-913.10 - Petitions, Penalties and Continuing Violations				

NOTE:

1. Meeting the Standard #1 criteria for the “Compliance and Enforcement” component requires a “Yes” for all *Food Code* Sections listed in Items 1 through 11.
2. For Item 12 pertaining to legal remedies, the jurisdiction needs to demonstrate a corresponding regulatory requirement for only one of the sections pertaining to criminal, injunctive, or civil penalties.

Standard 1 – Regulatory Foundation

SA Worksheet – Compliance & Enforcement



(Pages 1-63, Standards Manual)

Compliance and Enforcement Area and Description	<u>YES</u> Full Intent is Met	<u>NO</u> Standard Criteria is not Met	Self-Assessor's General Comments
1. Hold Orders, Embargo, and Destruction of Food	X		
2. Permit / License Required; Right to Deny	X		
3. Plan Review / Pre-operational Inspections	X		
4. Inspection Authority / Right to Access	X		
5. Information Authority; Restriction / Exclusion of Employees	X		
6. Authority to Require HACCP Plans	X		
7. Granting of Variances / Variances Prohibited	X		
8. Timely Correction of Critical Violations	X		
9. Imminent Health Hazard (Summary of Suspension)	X		
10. License Suspension / Revocation	X		
11. Highly Susceptible Populations	X		
12. Legal Remedies	X		

Assessment of _____ indicates conformance with **12** out of the 12 Compliance and Enforcement Categories
 (Regulatory Agency) (# Met)



Standard 1 – Regulatory Foundation

Verifying Results

(Pages 1-2 and 1-3, Standards Manual)

- **Part I – 9 out of the 11** Interventions and Risk Factor Controls must have been met (**11/11 after 3rd Verification Audit**)
- **Part II – 95%** of the Good Retail Practices provisions must be included in the jurisdiction's Food Code
- **Part III – ALL 12** of the Compliance and Enforcement categories must have been met

Participant Manual

Standard 1

Question 1

Page 2

Standard 1 – Regulatory Foundation

Four Core Requirements

(Page 1-2, Standards Manual)

1. Assessment of the Program's Regulatory Foundation
(side-by-side comparison of the Jurisdiction's Food Code to the FDA Food Code)
2. Food Code Interventions and Risk Factors
3. Good Retail Practices
4. Compliance and Enforcement

Participant Manual



Standard 1

Question 2

Page 3

Standard 1 – Regulatory Foundation

Part I Worksheet: Risk Factors and Interventions



(Page 1-13 thru 1-14, Standards Manual)

SECTION 2 – EMPLOYEE HEALTH

<i>Food Code</i> Section	Jurisdiction's Corresponding Code Section, Rule, etc.	<u>YES</u> Full Intent is Met	<u>Partial Compliance</u> List what is not covered (Additional sheets can be used for explanations and comments)	<u>NO</u> Compliance with the <i>Food Code</i> section is NOT Met (Indicate the Situation)
5. 2-201.11 – Responsibility of Permit Holder, Person in Charge, and Conditional Employees		X		
6. 2-201.12 – Exclusions and Restrictions		X		
7. 2-201.13 – Removal, Adjustment, or Retention of Exclusions and Restrictions		X		
8. 2-501.11– Clean-up of Vomiting and Diarrheal Events		X		

Participant Manual



Standard 1

Question 3

Page 4

Standard 1 – Regulatory Foundation

Part I Worksheet: Risk Factors and Interventions



(Pages 1-25, Standards Manual)

Standard 1: Regulatory Foundation Self-Assessment Worksheet

Part I – 2017 Food Code: Interventions and Risk Factor Controls Self-Assessment Results

<i>Food Code</i> Section and Description	YES Standard Criteria Met	NO Standard Criteria Not Met	Self-Assessor's General Comments
1. Demonstration of Knowledge	✗		
2. Employee Health	✗		
3. Consumer Advisory		✗	No consumer advisory provision
4. Approved Sources	✗		
5. Time/Temperature	✗		
6. Protection from Contamination	✗		
7. Control of Hands as a Vehicle of Contamination		✗	Code allows for minimal bare hand contact with RTE food
8. Good Hygienic Practices	✗		
9. Chemical	✗		
10. Conformance with Approved Procedures	✗		
11. Highly Susceptible Populations	✗		

Assessment of _____ indicates conformance with **9** out of the 11 Intervention/Risk Factor Categories (regulatory agency) (# Met)

Participant Manual



Standard 1

Question 4

Page 5

Standard 1 – Regulatory Foundation

Good Retail Practices



STANDARD 1: REGULATORY FOUNDATION SELF-ASSESSMENT WORKSHEET PART II – 2017 Food Code: Good Retail Practices SELF-ASSESSMENT RESULTS

Standard 1: Regulatory Foundation Self-Assessment Worksheet

Part I – 2017 Food Code: Interventions and Risk Factor Controls Self-Assessment Results

Section Number	Number of Provisions Met (Identified as "YES" on worksheet)	Section Description
12		Personnel
13		Food and Food Protection
14		Plant Cooking for Hot Holding
15		Protection from Contamination
16		Facilities / Methods to Control Product Temperature
17		Time/Temperature Control for Safety Food Properly Thawed
18		Dispensing Food / Utensils Properly Stored
19		Food Equipment
20		Food and Nonfood-Contact Surfaces
21		Warewashing Facilities; Designed, Constructed, Installed, Located, Operated, etc.
22		Wiping Cloths, Linens, Napkins, Gloves, Sponges: Properly Used, Stored
23		Storage, Handling of Clean Equipment, Utensils
24		Single-Service / Single Use Articles: Storage, Dispensing, Use, no Reuse
25		Safe Water Source, Hot and Cold Under Pressure, Adequate Quantity
26		Plumbing: Installed, Maintained
27		Cross Connection, Back Siphonage, Backflow Prevention
28		Number, Convenient, Accessible, Designed, Installed
29		Toilet Rooms Enclosed, Self-Closing Doors; Fixtures, Good Repair, Clean, etc.
30		Sewage and Wastewater Disposal
31		Garbage and Refuse Disposal - Containers or Receptacles: Covered, etc.
32		Physical Facility - Floors, Walls, Ceiling: Designed, Constructed, Maintained,
33		Lighting, Ventilation, Dressing Rooms / Designated Areas Maintained
34		Premises Maintained Free of Litter, Unnecessary Articles
35		Complete Separation from Living / Sleeping Quarters; Laundry
36		Presence of Insects / Rodents Minimized, Outer Openings Protected, etc.,

TOTAL NUMBER OF PROVISIONS MET (Add Column 2): _____
 Divide the total number of provisions met (last line of table) by 246 and multiply by 100 to determine the percentage of the Good Retail Practices provisions contained in your code regulation. _____ %
 A percentage equal to or greater than 95% meets the Regulatory Foundation for Sections 12 thru 36.

Food Code Section and Description	YES Standard Criteria Met	NO Standard Criteria Not Met	Self-Assessor's General Comments
1. Demonstration of Knowledge			
2. Employee Health			
3. Consumer Advisory			
4. Approved Sources			
5. Time/Temperature			
6. Protection from Contamination			
7. Control of Hands as a Vehicle of Contamination			
8. Good Hygienic Practices			
9. Chemical			
10. Conformance with Approve Procedures			
11. Highly Susceptible Populations			

Assessment of _____ indicates conformance with _____ out of the 11 Intervention/Risk Factor Categories (regulatory agency) (# Met)

Participant Manual



Standard 1

Question 5

Page 6

Standard 1 – Regulatory Foundation

Part II SA Worksheet: Good Retail Practices



Section Number	Number of Provisions Met (Identified as "YES" on worksheet)	Section Description
12	5	Personnel
13	12	Food and Food Protection
14	0	Plant Cooking for Hot Holding
15	9	Protection from Contamination
16	2	Facilities / Methods to Control Product Temperature
17	2	Time/Temperature Control for Safety Food Properly Thawed
18	3	Dispensing Food / Utensils Properly Stored
19	4	Food Equipment
20	42	Food and Nonfood-Contact Surfaces
21	26	Warewashing Facilities; Designed, Constructed, Installed, Located, Operated, etc.
22	10	Wiping Cloths, Linens, Napkins, Gloves, Sponges: Properly Used, Stored
23	6	Storage, Handling of Clean Equipment, Utensils
24	3	Single-Service / Single Use Articles: Storage, Dispensing, Use, no Reuse
25	9	Safe Water Source, Hot and Cold Under Pressure, Adequate Quantity
26	21	Plumbing: Installed, Maintained
27	6	Cross Connection, Back Siphonage, Backflow Prevention
28	2	Number, Convenient, Accessible, Designed, Installed
29	4	Toilet Rooms Enclosed, Self-Closing Doors; Fixtures, Good Repair, Clean, etc.
30	8	Sewage and Wastewater Disposal
31	17	Garbage and Refuse Disposal - Containers or Receptacles: Covered, etc.
32	16	Physical Facility - Floors, Walls, Ceiling: Designed, Constructed, Maintained,
33	11	Lighting, Ventilation, Dressing Rooms / Designated Areas Maintained
34	5	Premises Maintained Free of Litter, Unnecessary Articles
35	5	Complete Separation from Living / Sleeping Quarters; Laundry
36	6	Presence of Insects / Rodents Minimized, Outer Openings Protected, etc.,

$$234 \div 246 = .951$$

$$.951 \times 100 = 95.1\%$$

TOTAL NUMBER OF PROVISIONS MET (Add Column 2): 234

Divide the total number of provisions met (last line of table) by 246 and multiply by 100 to determine the percentage of the Good Retail Practices provisions contained in your code regulation. 95.1 %

A percentage equal to or greater than 95% meets the Regulatory Foundation for Sections 12 thru 36.

Participant Manual



Standard 1

Question 6

Page 7

Standard 1 – Regulatory Foundation Compliance & Enforcement



(Pages 1-62, Standards Manual)

<i>Food Code Section</i>	Jurisdiction's Corresponding Code Section, Rule, etc.	<u>YES</u> Full Intent is Met	<u>Partial Compliance</u> List what is not covered (Additional sheets can be used for explanations and comments)	<u>NO</u> Compliance with the <i>Food Code</i> section is NOT Met (Indicate the Situation)
12a. Criminal Penalties 8-911.10 - Authorities, Methods, Fines and Sentences	ARS 36-601	✘		
12b. 8-912.10 - Petitions for Injunction				
12c. Civil Penalties Provided 8-913.10 - Petitions, Penalties and Continuing Violations				

NOTE:

1. Meeting the Standard #1 criteria for the “Compliance and Enforcement” component requires a “Yes” for all *Food Code* Sections listed in Items 1 through 11.
2. For Item 12 pertaining to legal remedies, the jurisdiction needs to demonstrate a corresponding regulatory requirement for only one of the sections pertaining to criminal, injunctive, or civil penalties.

Standard 1 – Regulatory Foundation Compliance & Enforcement



(Clearinghouse Std. 1 Question 2, pg. 15)

2. Section 8-813.10 Petitions, Penalties, and Continuing Violations

Keywords: STD-01, Regulatory foundation, compliance, enforcement, civil penalties, criminal penalties

Issue Description

Background

The Statutes in our State do not provide the State and local health jurisdictions the authority to enact or administer civil penalties. The State and local jurisdictions do, however, have provisions for criminal penalties that are equivalent to the *FDA Food Code*.

Question/Problem

Since criminal penalties are, in most instances, more punitive and stringent than civil penalties, would jurisdictions operating under the limitations of the State statute prohibiting the application of civil penalties by health authorities meet the intent of the *FDA Food Code*?

Rationale

Since criminal penalties are more stringent than civil penalties, we believe that jurisdictions that do not have authority to enact civil penalties but incorporate criminal penalties at least equivalent to the *FDA Food Code* meet the intent of Standard #1.

Response from Clearinghouse Work Group (Updated 2011)

The CFP modified Standard 1 at the 2003 Biennial meeting and the change became effective in January 2005. Standard 1 Compliance and Enforcement section now requires that only one of the three possible civil, criminal or administrative remedies is necessary to meet the intent of Standard 1.

STANDARD 1 SELF-ASSESSMENT PROCESS QUESTIONS



Standard 6 Compliance & Enforcement

Preparing for the Self-Assessment

Preparing for the Standard 6 Self-Assessment

Source Documents



- Copy of Program Standard 6
- Clearinghouse Interpretations
- Self-Assessment Verification Audit Form
- Step-by-step compliance and enforcement procedures
 - Include policies or interpretations that carry the same weight as compliance and enforcement steps
- Inspection Form
- Reference key which identifies risk factors and interventions on inspection form

Preparing for the Standard 6 Self-Assessment



Source Documents

- Documentation that compliance and enforcement action was followed for >80% of sampled establishments
- The inspection history and reports for randomly selected establishment files
- If using Option 3,
 - Written review process, including random selection, and
 - Documentation of equivalence to the “Explanation of the Statistical Model for Standard 6” from a statistician.

Preparing for the Standard 6 Self-Assessment

Forms and Worksheets

<http://www.fda.gov/retailprogramstandards>



Standard 6: Compliance and Enforcement

- [Standard 6 \(PDF: 86KB\)](#)
- [Standard 6 – Self-Assessment and Verification Audit Form \(PDF: 826KB\)](#)
- [Standard 6 – Self-Assessment Instructions and Worksheet \(PDF: 1.1MB\)](#)
- [Standard 6 – Verification Audit Instructions and Worksheet \(PDF: 720KB\)](#)
- [Standard 6 – Explanation of Statistical Model \(PDF: 87KB\)](#)
- [Standard 6 – Establishment File Summary \(PDF: 614KB\)](#)
- [Standard 6 – Quick Reference Applicable Food Code Risk Factor Provisions \(PDF: 123KB\)](#)

Standard 6 Compliance & Enforcement

Conducting the Self-Assessment

Standard 6

Compliance & Enforcement



Compliance and enforcement activities result in follow-up actions for out-of-control risk factors and timely correction of code violations

Standard 6 – Compliance and Enforcement

Main Elements



(Page 6-2, Standards Manual)

- Written step-by-step compliance and enforcement procedures
- Inspection form records / quantifies the compliance status of risk factors and Food Code interventions
- Establishment file review indicates:
 - Compliance / enforcement actions followed per the jurisdiction's written procedures
 - Resolution / correction was achieved for all out-of-control risk factors or interventions that were recorded

Standard 6 – Compliance & Enforcement Compliance & Enforcement Procedure (a)



(Page 6-7, Standards Manual)

Jurisdiction Name: _____

Criteria	Element	Jurisdiction's Self-Assessment	Jurisdiction's Self-Assessment	Self-Assessor's General Comments	Auditor's Verification	Auditor's Verification	If NO, Auditor is to specify why criterion is not met
		YES	NO		YES	NO	
1. Compliance and Enforcement Procedure	a) The jurisdiction has a written step-by-step compliance and enforcement procedure that describes what actions and tools (i.e., forms, documents, interventions) are to be used to achieve compliance.						
1. Compliance and Enforcement Procedure	b) The jurisdiction's inspection form(s) record and quantify the compliance status of foodborne illness risk factors, <i>Food Code</i> interventions and other serious code violations.						

Standard 6 – Compliance & Enforcement

Compliance & Enforcement Procedure



(Page 6-9, Standards Manual)

Compliance and Enforcement Procedures

- Written step-by-step procedures outline the compliance and enforcement process
- Clear set of instructions that guide staff with steps/actions when various categories of violations occur
- Progression of steps taken when violations are not corrected
- Regulatory or Administrative time frames are established

Standard 6 – Compliance & Enforcement

Compliance & Enforcement Procedure



(Page 6-7, Standards Manual)

Jurisdiction Name: _____

Criteria	Element	Jurisdiction's Self-Assessment	Jurisdiction's Self-Assessment	Self-Assessor's General Comments	Auditor's Verification	Auditor's Verification	If NO, Auditor is to specify why criterion is not met
		YES	NO		YES	NO	
1. Compliance and Enforcement Procedure	a) The jurisdiction has a written step-by-step compliance and enforcement procedure that describes what actions and tools (i.e., forms, documents, interventions) are to be used to achieve compliance.						
1. Compliance and Enforcement Procedure	b) The jurisdiction's inspection form(s) record and quantify the compliance status of foodborne illness risk factors, <i>Food Code</i> interventions and other serious code violations.						

Standard 6 – Compliance & Enforcement

Compliance & Enforcement Procedure



(Page 6-9, Standards Manual)

Jurisdiction's Inspection form must use IN, OUT, NA, NO to record the compliance status for

- Foodborne Illness Risk Factors
- Public Health Interventions

Standard 6 – Compliance & Enforcement

Assessment of Effectiveness



(Page 6-7 thru 6-8, Standards Manual)

Jurisdiction Name: _____

Criteria	Element	Jurisdiction's Self-Assessment YES	Jurisdiction's Self-Assessment NO	Self-Assessor's General Comments	Auditor's Verification YES	Auditor's Verification NO	If NO, Auditor is to specify why criterion is not met
2. Assessment of Effectiveness	a) The jurisdiction has written documentation that verifies the review of the effectiveness of the staff's implementation of the program's compliance and enforcement procedure that includes a selection of establishment files for review in accordance with the Standard criteria.						
2. Assessment of Effectiveness	b) The jurisdiction has written documentation verifying that at least 80% of the sampled files follow the agency's step-by-step compliance and enforcement procedures and actions were taken to resolve out-of-compliance risk factors recorded on the selected routine inspection in accordance with the Standard criteria.						

Effectiveness Assessment

(Page 6-9 thru 6-13, Standards Manual)



Measure effectiveness of the compliance and enforcement program to determine if Risk Factor and Public Health Intervention violations are satisfactorily resolved per the jurisdiction's procedures

File Selection Process

(Page 6-9 thru 6-13, Standards Manual)



Three options for file selection:

- **Option 1:** Reviewing each inspection where a Risk Factor or Public Health intervention was marked out of compliance;
- **Option 2:** Using a statistical method as described in this standard set forth in Parts I-IV below;
- **Option 3:** Using an alternative statistical method established by the jurisdiction with written procedures that include supporting documentation and worksheets.



File Selection Process: Option 3

(Page 6-9 thru 6-13, Standards Manual)

If an alternative model is used, the jurisdiction must have written procedures, including supporting documentation and worksheets that:

- Describe the compliance and enforcement review process;
- Includes a review of the randomly selected establishments that have at least one Risk Factor or Public Health Intervention marked OUT of compliance; and
- Is equivalent to the published Standard 6 statistical model for the number of inspections reviewed and the method of selection.

Standard 6 – Compliance and Enforcement

Option 2: Assessment of Effectiveness
(Page 6-10, Standards Manual)

Standard 6 – Using Option 2

(Page 6-9 thru 6-14, Standards Manual)

The process for selection/review of establishment files

- Determine the number of establishment files to review
- Randomly select establishment files
- Review selected establishment files against the written compliance and enforcement protocol
- Determine the need to review substitute establishment files
- Determine if Standard 6 is met

Participant Manual

Standard 6

Question 3

Page 29

Standard 6 – Compliance and Enforcement

Determining Number of Files to Review for the Self-Assessment

(Page 6-10, Standards Manual)



Establishment Inventory	Number of Files to Review
Less than 800	40 establishment files
800 or more	5% of the total number of establishments (Up to a maximum of 70 files)

$$820 \text{ total establishments} * 5\% = 41$$

Standard 6 – Using Option 2

Random Selection

(Page 6-9 thru 6-12, Standards Manual)

- Create inventory
 - Organize by permit number, alphabetical order
 - Assign number to each
- Use random number generator
 - Pull two unique unsorted lists
 - Range: 1 to total # of establishments
 - Number in each set: sample size

Standard 6 – Compliance and Enforcement

Example Random Number Generation



www.randomizer.org

GENERATE NUMBERS

How many sets of numbers do you want to generate? Help

How many numbers per set? Help

Number range (e.g., 1-50) Help

Do you wish each number in a set to remain unique? Help

Do you wish to sort the numbers that are generated? Help

How do you wish to view your random numbers? Help

RANDOMIZE NOW!

Standard 6 – Compliance and Enforcement

Example Random Number Generation



RESULTS **PRINT** **DOWNLOAD** **CLOSE**

2 Sets of **41 Unique** Numbers Per Set
Range: From **1** to **820**

Set #1
12, 274, 335, 448, 101, 174, 193, 126, 271, 121, 213, 216, 234, 5, 392, 469, 351, 33, 232, 16, 756, 651, 524, 522, 66, 750, 563, 99, 30, 142, 766, 459, 420, 243, 575, 457, 627, 708, 778, 41, 76

Set #2
20, 346, 688, 793, 421, 435, 42, 127, 140, 715, 495, 276, 624, 496, 175, 773, 369, 182, 533, 264, 458, 63, 391, 808, 426, 54, 226, 141, 639, 231, 640,, 130, 76, 338, 554, 41, 809, 593, 95, 797, 75

Please note: By using this service, you agree to abide by the [SPN User Policy](#) and to hold Research Randomizer and its staff harmless in the event that you experience a problem with the program or its results. Although every effort has been made to develop a useful means of generating random numbers, Research Randomizer and its staff do not guarantee the quality or randomness of numbers generated. Any use to which these numbers are put remains the sole responsibility of the user who generated them.



Standard 6 – Compliance and Enforcement

Self-Assessment Summary Worksheet



(Page 6-15, Standards Manual)

Jurisdiction Name: Desert County Health Department, AZ

Number of Files Selected	Randomly Selected Number	Name or ID of Establishment	Yes	No	Does Not Qualify	Self-Assessor's General Comments
1	12	07012-Tasty Treats				
2	274	07274-Palo Verde Cafe				
3	335	07335 Cactus Flower Restaurant				
4	448	07448-Survival Foods				
5	101	07101-Desert Flavors				
6	174	07174-Rugged Mountain Foods				
7	193	07193-Sunet Dining				

STD 6 Compliance & Enforcement

Establishment File Worksheet

(Page 6-26, Standards Manual)



STANDARD 6: COMPLIANCE AND ENFORCEMENT ESTABLISHMENT FILE WORKSHEET

File Number: 2 Establishment Name: Palo Verde Cafe Permit Number: 0724 Inspection Date (Start Point): _____

Risk Factor and Food Code Interventions

	Unsafe Sources	Inadequate Cooking	Improper Holding Temperatures Hot & Cold	Time/ Temperature Parameters Not Met (Time as a Control, date marking, rapid cooling)	Bare Hand Contact with Ready-to-Eat Food	Poor Personal Hygiene	Contaminated Food Contact Equipment	Consumer Advisory (when required)	Demonstration of Knowledge by PIC	Employee Health Control System or Policy Implemented
Reference to local inspection items	1	2,3,4,5	6,7	8,11	13	14	15	NA	NA	16
Start Point Inspection Violations										
Was on-site corrective action taken?										
Was follow-up corrective action taken?										
Was enforcement action taken?										

Note:

1. Each column in which a violation is noted must receive a yes response to one of the three questions in order for the file to pass. Additionally, written procedures must have been followed

Was the Written Procedure Followed? YES NO

Jurisdiction's definitions of acronyms and notations used to reflect follow-up action

Acronym /Notation	Definitions	Acronym /Notation	Definitions	Acronym/Notation	Definitions
RH	Reheat to Safe Temp	EM	Embargo		
RCP	Risk Control Plan	TR	Training Required		
WL	Warning Letter Sent	GLV	Implement Glove Use		

File Meets the Standard 6 Criteria: YES NO

Standard 6 – Standardized Key Crosswalk to the 2017 FDA Food Code

(Pages 6-37 thru 6-39 Standards Manual)

- Standard 6 – Quick Reference Applicable Food Code Risk Factor Provisions (PDF - 123KB)

Standardized Key Crosswalk to the 2017 FDA Food Code

This crosswalk is intended to assist jurisdictions in making comparisons with their code against the 2017 FDA Food Code. The Form 3-A Food Inspection Report Item numbers are based on the model FDA inspection form found in Annex 7 of the 2017 FDA Food Code. Completion of the crosswalk is intended to assist jurisdictions completing Standard 6 documentation which identifies major risk factors and Food Code interventions on the jurisdiction’s inspection report form. Annex 5 contains additional information regarding the content of Form 3-A.

FBI Risk Factors	Food Establishment Inspection Report (Form 3-A) Item Number	Applicable 2017 FDA Food Code References
<i>Supervision</i>		
PIC	1	2-101.11, 2-102.11(A), (B) and (C)(1), (4)-(16), 2-103.11 (A)-
CFPM	2	(P) 2-102.12(A)
<i>Employee Health</i>		
Management	3	2-102.11(C)(2), (3) and (17), 2-103.11(O), 2-201.11(A), (B), (C), and (E)
Restriction and Exclusion	4	2-201.11(D) and (F), 2-201.12, 2-201.13
Vomit and Diarrheal events	5	2-501.11

Standard 6 – Compliance and Enforcement



Assessment of Effectiveness

(Page 6-10 thru 6-11, Standards Manual)

Establish Start Point Inspection

- Count back **three routine inspections from the most recent one**
- See if there is a Risk Factor or Intervention Violation. If not, go to the 4th.
- If none on the 4th most recent routine, DNQ.

Standard 6 – Compliance and Enforcement



Did Not Qualify (D.N.Q.) Files

(Pages 6-10 thru 6-12, Standards Manual)

Two reasons for DNQ substitute for a randomly selected establishment:

- Length of business history
 - Must have three routine inspections
- No Risk Factor or Food Code Intervention Violation on “Start-Point” inspection
 - Must have RFI violation on 3rd or 4th most recent

When this happens, select a substitute establishment

Standard 6 – Compliance and Enforcement

Self-Assessment Summary Worksheet



(Page 6-15, Standards Manual)

Jurisdiction Name: Desert County Health Department, AZ

Number of Files Selected	Randomly Selected Number	Name or ID of Establishment	Yes	No	Does Not Qualify	Self-Assessor's General Comments
1	12	07012-Tasty Treats			X	
2	274	07274-Palo Verde Cafe				
3	335	07335 Cactus Flower Restaurant				
4	448	07448-Survival Foods				
5	101	07101-Desert Flavors				
6	174	07174-Rugged Mountain Foods				
7	193	07193-Sunet Dining				

Standard 6 – Compliance and Enforcement

Example Random Number Generation



RESULTS **PRINT** **DOWNLOAD** **CLOSE**

2 Sets of **41 Unique** Numbers Per Set
Range: From **1** to **820**

Set #1
12, 274, 335, 448, 101, 174, 193, 126, 271, 121, 213, 216, 234, 5, 392, 469, 351, 33, 232, 16, 756, 651, 524, 522, 66, 750, 563, 99, 30, 142, 766, 459, 420, 243, 575, 457, 627, 708, 778, 41, 76

Set #2
20, 346, 688, 793, 421, 435, 42, 127, 140, 715, 495, 276, 624, 496, 175, 773, 369, 182, 533, 264, 458, 63, 391, 808, 426, 54, 226, 141, 639, 231, 640,, 130, 76, 338, 554, 41, 809, 593, 95, 797, 75

Please note: By using this service, you agree to abide by the [SPN User Policy](#) and to hold Research Randomizer and its staff harmless in the event that you experience a problem with the program or its results. Although every effort has been made to develop a useful means of generating random numbers, Research Randomizer and its staff do not guarantee the quality or randomness of numbers generated. Any use to which these numbers are put remains the sole responsibility of the user who generated them.



Standard 6 – Compliance and Enforcement



Substitute Establishment Files

(Pages 6-23 thru 6-25, Standards Manual)

Number of Files Selected	Randomly Selected Number	Name or ID of Establishment	Yes	No	Does Not Qualify	Self-Assessor's General Comments
1	20	07020-Survival Foods				
2	346	07346-Just Hot Stuff				
3						
4						
5						
6						
7						

Determining Start Point Inspection Data



STANDARD 6: COMPLIANCE AND ENFORCEMENT ESTABLISHMENT FILE WORKSHEET

File Number: 2 Establishment Name: Palo Verde Cafe Permit Number: 0724 Inspection Date (Start Point): 07/16/2020

Risk Factor and Food Code Interventions

	Unsafe Sources	Inadequate Cooking	Improper Holding Temperatures Hot & Cold	Time/ Temperature Parameters Not Met (Time as a Control, date marking, rapid cooling)	Bare Hand Contact with Ready-to-Eat Food	Poor Personal Hygiene	Contaminated Food Contact Equipment	Consumer Advisory (when required)	Demonstration of Knowledge by PIC	Employee Health Control System or Policy Implemented
Reference to local inspection items	1	2,3,4,5	6,7	8,11	13	14	15	NA	NA	16
Start Point Inspection Violations		X		X	X	X				
Was on-site corrective action taken?										
Was follow-up corrective action taken?										
Was enforcement action taken?										

Note:
1. Each column in which a violation is noted receive a yes response to one of the three questions in order for the file to pass. Additionally, written procedures must have been followed

Was the Written Procedure Followed? YES NO

Jurisdiction's definitions of acronyms and notations used to reflect follow-up action

Acronym /Notation	Definitions	Acronym /Notation	Definitions	Acronym/Notation	Definitions
RH	Reheat to Safe Temp	EM	Embargo		
RCP	Risk Control Plan	TR	Training Required		
WL	Warning Letter Sent	GLV	Implement Glove Use		

File Meets the Standard 6 Criteria: YES NO

Corrective & Enforcement Action



STANDARD 6: COMPLIANCE AND ENFORCEMENT ESTABLISHMENT FILE WORKSHEET

File Number: 2 Establishment Name: Palo Verde Cafe Permit Number: 0724 Inspection Date (Start Point): 07/16/2020

Risk Factor and Food Code Interventions

	Unsafe Sources	Inadequate Cooking	Improper Holding Temperatures: Hot & Cold	Time/ Temperature Parameters Not Met (Time as a Control, date marking, rapid cooling)	Bare Hand Contact with Ready-to-Eat Food	Poor Personal Hygiene	Contaminated Food Contact Equipment	Consumer Advisory (when required)	Demonstration of Knowledge by PIC	Employee Health Control System or Policy Implemented
Reference to local inspection items	1	2,3,4,5	6,7	8,11	13	14	15	NA	NA	16
Start Point Inspection Violations		X		X	X	X				
Was on-site corrective action taken?		YES (R,H)		YES(R,H)	YES(GLV)					
Was follow-up corrective action taken?				YES (RCP)		YES(TR)				
Was enforcement action taken?		YES(WL)								

Note:

1. Each column in which a violation is noted must receive a yes response to one of the three questions in order for the file to pass. Additionally, written procedures must have been followed

Was the Written Procedure Followed? YES NO

Jurisdiction's definitions of acronyms and notations used to reflect follow-up action

Acronym /Notation	Definitions	Acronym /Notation	Definitions	Acronym/Notation	Definitions
RH	Reheat to Safe Temp	EM	Embargo		
RCP	Risk Control Plan	TR	Training Required		
WL	Warning Letter Sent	GLV	Implement Glove Use		

File Meets the Standard 6 Criteria: YES NO

Written Procedures or Follow Up Activity

STANDARD 6: COMPLIANCE AND ENFORCEMENT ESTABLISHMENT FILE WORKSHEET

File Number: 2 Establishment Name: Palo Verde Cafe Permit Number: 0724 Inspection Date (Start Point): 07/16/2020

Risk Factor and Food Code Interventions

	Unsafe Sources	Inadequate Cooking	Improper Holding Temperatures Hot & Cold	Time/ Temperature Parameter: Not Met (Time as a Control, date marking, rapid cooling)	Bare Hand Contact with Ready-to-Eat Food	Poor Personal Hygiene	Contaminated Food Contact Equipment	Consumer Advisory (when required)	Demonstration of Knowledge by PIC	Employee Health Control System or Policy Implemented
Reference to local inspection items	1	2,34,5	6,7	8,11	13	14	15	NA	NA	16
Start Point Inspection Violations		X		X	X	X				
Was on-site corrective action taken?		YES (R,H)		YES(R,H)	YES(GLV)					
Was follow-up corrective action taken?				YES (RCP)		YES(TR)				
Was enforcement action taken?		YES(WL)								

Note:

1. Each column in which a violation is noted must receive a yes response to one of the three questions in order for the file to pass. Additionally, written procedures must have been followed

Was the Written Procedure Followed? X YES NO

Jurisdiction's definitions of acronyms and notations used to reflect follow-up action

Acronym /Notation	Definitions	Acronym /Notation	Definitions	Acronym/Notation	Definitions
RH	Reheat to Safe Temp	EM	Embargo		
RCP	Risk Control Plan	TR	Training Required		
WL	Warning Letter Sent	GLV	Implement Glove Use		

File Meets the Standard 6 Criteria: X YES NO

Standard 6 – Compliance and Enforcement



Summary Worksheet

(Page 6-11, Standards Manual)

Jurisdiction Name: Desert County Health Department, AZ

Number of Files Selected	Randomly Selected Number	Name or ID of Establishment	Yes	No	Does Not Qualify	Self-Assessor's General Comments
1	12	07012-Tasty Treats			X	Only 2 routines
2	274	07274-Palo Verde Cafe	X			
3	335	07335 Cactus Flower Restaurant		X		Did not do RCP
4	448	07448-Survival Foods				
5	101	07101-Desert Flavors				
6	174	07174-Rugged Mountain Foods				
7	193	07193-Sunet Dining				

Standard 6 – Compliance & Enforcement



Determine if Standard 6 Criteria are Met

(Page 6-14, Standards Manual)

At least **80%** of establishment files reviewed indicates:

- Staff takes compliance and enforcement action according to the jurisdiction's written procedure
- Resolution was achieved for all out-of-control risk factors and interventions recorded on the selected routine inspections

Participant Manual

Standard 6

Question 1

Page 28

Standard 6 – Compliance and Enforcement

Main Elements



(Page 6-2, Standards Manual)

- Written step-by-step compliance and enforcement procedures
- Inspection form records / quantifies the compliance status of risk factors and Food Code interventions
- Establishment file review indicates:
 - Compliance / enforcement actions followed per the jurisdiction's written procedures
 - Resolution / correction was achieved for all out-of-control risk factors or interventions that were recorded

Participant Manual

Standard 6

Question 2

Page 28

File Selection Process

(Page 6-9 thru 6-13, Standards Manual)



Three options for file selection:

- **Option 1:** Reviewing each inspection where a FBI Risk Factor or Public Health intervention was marked out of compliance;
- **Option 2:** Using a statistical method as described in this standard set forth in Parts I-IV below;
- **Option 3:** Using an alternative statistical method established by the jurisdiction with written procedures that include supporting documentation and worksheets.

Participant Manual

Standard 6

Question 4

Page 30

Standard 6 – Compliance and Enforcement



Assessment of Effectiveness

(Page 6-10 thru 6-11, Standards Manual)

Establish Start Point Inspection

- Count back **three routine inspections from the most recent**
- See if there is a Risk Factor or Intervention Violation. If not, go to the 4th.
- If none on the 4th most recent routine, DNQ.

Participant Manual

Standard 6

Question 5

Page 30

Standard 6 – Compliance and Enforcement



Did Not Qualify (D.N.Q.) Files

(Pages 6-11, Standards Manual)

Two reasons jurisdictions may delete a randomly selected establishment from the review pool:

- Length of business history
- No Risk Factor or Food Code Intervention Violation on “Start-Point” inspection

When this happens, select a substitute establishment

Participant Manual

Standard 6

Question 6

Page 31

Standard 6 – Compliance and Enforcement

Example Random Number Generation



RESULTS **PRINT** **DOWNLOAD** **CLOSE**

2 Sets of **41 Unique** Numbers Per Set
Range: From **1** to **820**

Set #1
12, 274, 335, 448, 101, 174, 193, 126, 271, 121, 213, 216, 234, 5, 392, 469, 351, 33, 232, 16, 756, 651, 524, 522, 66, 750, 563, 99, 30, 142, 766, 459, 420, 243, 575, 457, 627, 708, 778, 41, 76

Set #2
20, 346, 688, 793, 421, 435, 42, 127, 140, 715, 495, 276, 624, 496, 175, 773, 369, 182, 533, 264, 458, 63, 391, 808, 426, 54, 226, 141, 639, 231, 640,, 130, 76, 338, 554, 41, 809, 593, 95, 797, 75

Please note: By using this service, you agree to abide by the [SPN User Policy](#) and to hold Research Randomizer and its staff harmless in the event that you experience a problem with the program or its results. Although every effort has been made to develop a useful means of generating random numbers, Research Randomizer and its staff do not guarantee the quality or randomness of numbers generated. Any use to which these numbers are put remains the sole responsibility of the user who generated them.



Participant Manual

Standard 6

Question 7

Page 31

Non-Applicable (NA) Designations



STANDARD 6: COMPLIANCE AND ENFORCEMENT ESTABLISHMENT FILE WORKSHEET

File Number: 2 Establishment Name: Palo Verde Cafe Permit Number: 0724 Inspection Date (Start Point): 07/16/2020

Risk Factor and Food Code Interventions

	Unsafe Sources	Inadequate Cooking	Improper Holding Temperatures: Hot & Cold	Time/ Temperature Parameters Not Met (Time as a Control, date marking, rapid cooling)	Bare Hand Contact with Ready-to-Eat Food	Poor Personal Hygiene	Contaminated Food Contact Equipment	Consumer Advisory (when required)	Demonstration of Knowledge by PIC	Employee Health Control System or Policy Implemented
Reference to local inspection items	1	2,3,4,5	6,7	8,11	13	14	15	NA	NA	16
Start Point Inspection Violations		X		X	X	X				
Was on-site corrective action taken?		YES (R,H)		YES(R,H)	YES(GLV)					
Was follow-up corrective action taken?				YES (RCP)		YES(TR)				
Was enforcement action taken?		YES(WL)								

Note:

- Each column in which a violation is noted must receive a yes response to one of the three questions in order for the file to pass. Additionally, written procedures must have been followed

Was the Written Procedure Followed? X YES _____ NO

Jurisdiction's definitions of acronyms and notations used to reflect follow-up action

Acronym /Notation	Definitions	Acronym /Notation	Definitions	Acronym/Notation	Definitions
RH	Reheat to Safe Temp	EM	Embargo		
RCP	Risk Control Plan	TR	Training Required		
WL	Warning Letter Sent	GLV	Implement Glove Use		

File Meets the Standard 6 Criteria: X YES _____ NO

Participant Manual

Standard 6

Question 8

Page 32

Determining Start Point Inspection Data



STANDARD 6: COMPLIANCE AND ENFORCEMENT ESTABLISHMENT FILE WORKSHEET

File Number: 2 Establishment Name: Palo Verde Cafe Permit Number: 0724 Inspection Date (Start Point): 07/16/2020

Risk Factor and *Food Code* Interventions

	Unsafe Sources	Inadequate Cooking	Improper Holding Temperatures: Hot & Cold	Time/ Temperature Parameters: Not Met (Time as a Control, date marking, rapid cooling)	Bare Hand Contact with Ready-to-Eat Food	Poor Personal Hygiene	Contaminated Food Contact Equipment	Consumer Advisory (when required)	Demonstration of Knowledge by PIC	Employee Health Control System or Policy Implemented
Reference to local inspection items	1	2,3,4,5	6,7	8,11	13	14	15	NA	NA	16
Start Point Inspection Violations		X		X	X	X				
Was on-site corrective action taken?		YES (R,H)		YES(R,H)	YES(GLV)					
Was follow-up corrective action taken?				YES (RCP)		YES(TR)				
Was enforcement action taken?		YES(WL)								

Note:

1. Each column in which a violation is noted must receive a yes response to one of the three questions in order for the file to pass. Additionally, written procedures must have been followed

Was the Written Procedure Followed? X YES NO

Jurisdiction's definitions of acronyms and notations used to reflect follow-up action

Acronym /Notation	Definitions	Acronym /Notation	Definitions	Acronym/Notation	Definitions
RH	Reheat to Safe Temp	EM	Embargo		
RCP	Risk Control Plan	TR	Training Required		
WL	Warning Letter Sent	GLV	Implement Glove Use		

File Meets the Standard 6 Criteria: X YES NO

STANDARD 6 SELF-ASSESSMENT QUESTIONS



Standard 2 Trained Regulatory Staff

Preparing for the Verification Audit

Preparing for the Standard 2 Verification Audit

Source Documents

- Copy of Program Standard 2
- Clearinghouse Interpretations
- Jurisdiction's Standard 2 Self-Assessment Worksheet or equivalent
- Records of course completion of the Standard 2 curriculum; transcripts; affidavits – A listing of FDA ORA U course and learning objectives are available:

www.fda.gov/training-and-continuing-education/ora-university-orau

Preparing for the Standard 2 Verification Audit

Source Documents

- Copies of 25 joint field training inspections/independent inspections
- Documentation of completion of a field training process similar to that contain in Appendix B-2
- Standardization/re-standardization records certificates/letters
- Records of continuing education contact hours via database; certificates; attendance records; sign-in sheets

Preparing for the Standard 2 Verification Audit Forms and Worksheets

<http://www.fda.gov/retailprogramstandards>



The screenshot shows the FDA website header with the logo and navigation links. The main content area features the title "Voluntary National Retail Food Regulatory Program Standards" and a list of social media sharing options: Share, Tweet, LinkedIn, Email, and Print.

U.S. FOOD & DRUG ADMINISTRATION

← Home / Food / Guidance & Regulation (Food and Dietary Supplements) / Retail Food Protection / Voluntary National Retail Food Regulatory Program Standards

Voluntary National Retail Food Regulatory Program Standards

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Standard 2: Trained Regulatory Staff

- [Standard 2 \(PDF: 149KB\)](#)
- [Standard 2 – Self-Assessment and Verification Audit Form \(PDF: 714KB\)](#)
- [Standard 2 – Self-Assessment Instructions and Worksheet \(PDF: 674KB\)](#)
- [Standard 2 – Verification Audit Instructions and Worksheet \(PDF: 710KB\)](#)

Standard 2 Program Assessment

Preparing for the Verification Audit

(Pages 2-21 thru 2-25, Standards Manual)

Standard 2 – Trained Regulatory Staff

Regulatory staff shall have the knowledge, skills, and ability to adequately perform their required duties.

Standard 2 – Trained Regulatory Staff

Five Core Criteria

(Page 2-2, Program Standards Manual)

- Step 1: Pre-Inspection Curriculum
- Step 2: Joint Field Training
[CFP Field Training Manual \(Updated 2020 CFP\)](#)
- Step 3: Independent Inspections
[Completion of Curriculum \(designated as “Post” courses\)](#)
- Step 4: Standardization
- Step 5: Continuing Education

Standard 2 – Trained Regulatory Staff

Step 1: Verify Training Records

(Page 2-21, Program Standards Manual)

(*indicates completion date required)

No.	Employee Name	Date of Hire or Assignment to the Retail Food Program	Completion of Training Pre-requisite ("Pre") Curriculum* (Prior to conducting independent inspections)	Completion of a Minimum of 25 Joint Field Training Inspections* AND Successful completion of a field training process similar to the CFP Field Training Manual in Appendix B-2	Completion of a Minimum 25 Independent Inspections* AND "Post" Curriculum Courses* (within 24 months of hire or assignment to the Retail Food Program)	Completion of Field Standardization* (within 24 months of hire or assignment to the Retail Food Program)	Number of Education Contact Hours (Minimum of 20 Contact Hours Every 3 Years)	Meets the Standard 2 Criteria YES or No
1	Billie Sims	9-21-1985	Previous coursework meets the standard	Waived, completed previous field training; records on file	Records on file:>500 independent inspections	Standardized 10-11-23	20	YES
2	Steven Owens	9-22-1995	Previous coursework meets the standard	Waived, completed previous field training; records on file	Records on file:>500 independent inspections	Standardized 12-22-23	0	YES
3	Jamie Holloway	3-6-2015	6-15-15	7-2-15	8-1-15	Re-Standardized 3-17-22	20	YES
4	Sue Scooner	11-1-2016	12-22-16	12-31-16	3-11-17	Re-Standardized 4-21-23	32	YES
5	Richard Bryan	10-22-2021	2-6-22	3-12-22	4-17-22	Standardized 1-5-23	0	YES
6	Jackson Clayton	8-8-2010	Previous coursework meets the standard	Waived, completed previous field training; records on file	Records on file:>500 independent inspections	Re-Standardized 9-21-22	20	YES
7	Joseph Pruitt	7-5-2021	11-1-21	1-12-22	8-5-22	Standardized 1-2-23	36	YES
8	Greg Washington	4-25-2017	9-26-17	10-27-17	12-3-17	Re-Standardized 9-12-23	20	YES
9	Madison Hall	4-25-2022	8-1-22	10-20-22	4-29-23	Standardized 6-24-23	24	YES
10	Joseph Rockdale	5-1-2019	10-25-19	11-11-19	12-15-19	Standardized 10-1-20	8	NO

1. Ninety percent (90% of the staff must meet each training element for the Jurisdiction to meet Standard 2-Trained Regulatory Staff.

2. Based on the documentation from this worksheet, record your finding for each of the items on the *Standard 2: Program Self-Assessment and Verification Audit Form*

Standard 2 – Trained Regulatory Staff

Step 2: Verify Worksheet % Calculation

(Page 2-21, Program Standards Manual)

(*indicates completion date required)

No.	Employee Name	Date of Hire or Assignment to the Retail Food Program	Completion of Training Pre-requisite ("Pre") Curriculum* (Prior to conducting independent inspections)	Completion of a Minimum of 25 Joint Field Training Inspections* AND Successful completion of a field training process similar to the CFP Field Training Manual in Appendix B-2	Completion of a Minimum 25 Independent Inspections* AND "Post" Curriculum Courses* (within 24 months of hire or assignment to the Retail Food Program)	Completion of Field Standardization* (within 24 months of hire or assignment to the Retail Food Program)	Number of Education Contact Hours (Minimum of 20 Contact Hours Every 3 Years)	Meets the Standard 2 Criteria YES or No
1	Billie Sims	9-21-1985	Previous coursework meets the standard	Waived, completed previous field training; records on file	Records on file:>500 independent inspections	Standardized 10-11-23	20	YES
2	Steven Owens	9-22-1995	Previous coursework meets the standard	Waived, completed previous field training; records on file	Records on file:>500 independent inspections	Standardized 12-22-23	0	YES
3	Jamie Holloway	3-6-2015	6-15-15	7-2-15	8-1-15	Re-Standardized 3-17-22	20	YES
4	Sue Scooner	11-1-2016	12-22-16	12-31-16	3-11-17	Re-Standardized 4-21-23	32	YES
5	Richard Bryan	10-22-2021	2-6-22	3-12-22	4-17-22	Standardized 1-5-23	0	YES
6	Jackson Clayton	8-8-2010	Previous coursework meets the standard	Waived, completed previous field training; records on file	Records on file:>500 independent inspections	Re-Standardized 9-21-22	20	YES
7	Joseph Pruitt	7-5-2021	11-1-21	1-12-22	8-5-22	Standardized 1-2-23	36	YES
8	Greg Washington	4-25-2017	9-26-17	10-27-17	12-3-17	Re-Standardized 9-12-23	20	YES
9	Madison Hall	4-25-2022	8-1-22	10-20-22	4-29-23	Standardized 6-24-23	24	YES
10	Joseph Rockdale	5-1-2019	10-25-19	11-11-19	12-15-19	Standardized 10-1-20	8	NO

1. Ninety percent (90% of the staff must meet each training element for the Jurisdiction to meet Standard 2-Trained Regulatory Staff.

2. Based on the documentation from this worksheet, record your finding for each of the items on the *Standard 2: Program Self-Assessment and Verification Audit Form*

Standard 2 – Trained Regulatory Staff

Step 3: Determine Number of Employee Training Files to Review

(Page 2-21, Program Standards Manual)

- **EXAMPLE:** Total # of Employees assigned to retail food program inspection responsibilities = **10**

Number of Employees	Number of Files to Select
5 or less	All
20 or less	5
21 or more	25 percent

Standard 2 – Trained Regulatory Staff

Step 4: Select Random Numbers

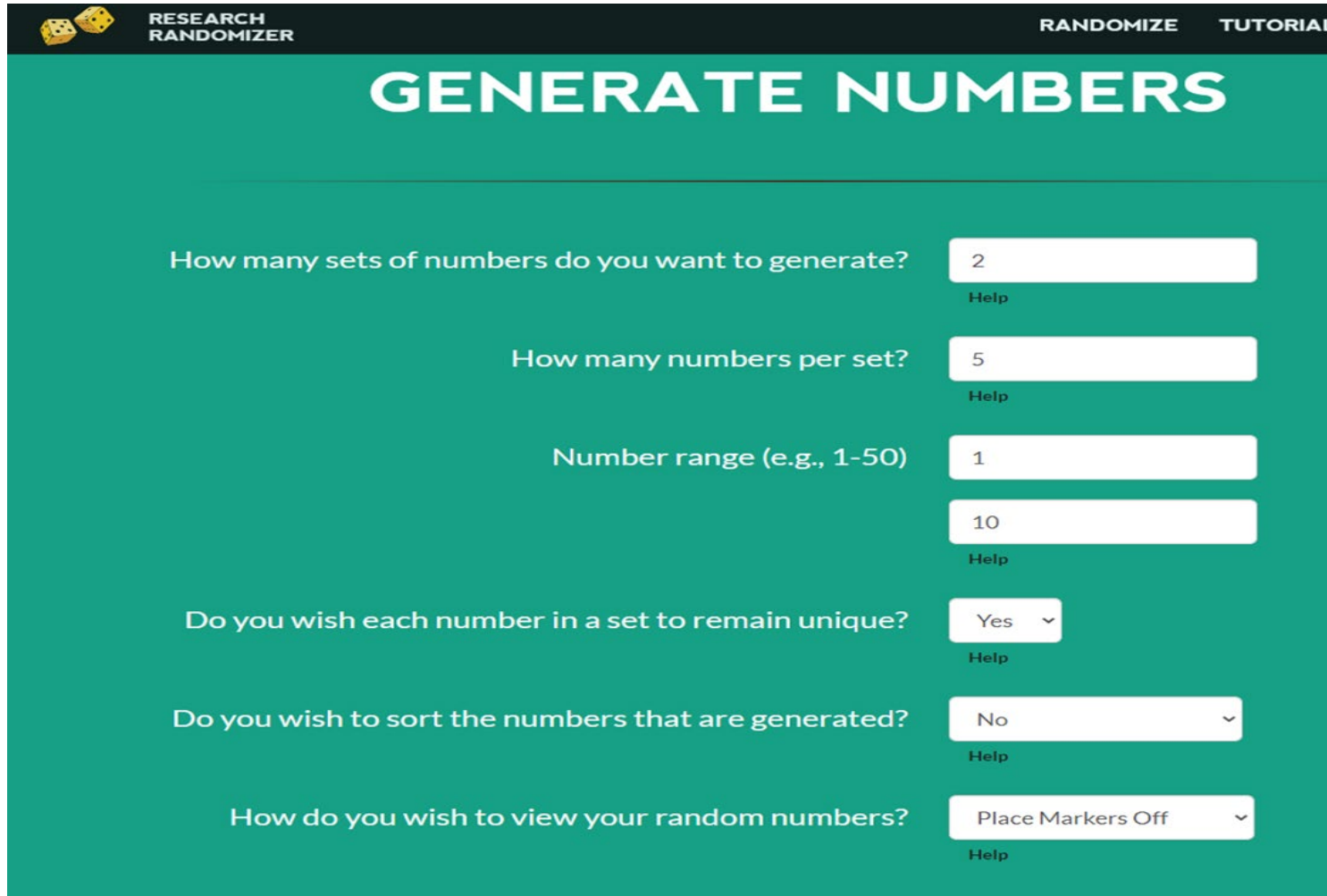
(Page 2-22, Program Standards Manual)

Random selection to include:

- **Two sets of 5 numbers** (primary and substitute sample sets).
- May obtain random numbers from:
www.randomizer.org

Standard 2 – Trained Regulatory Staff Example Random Number Generation

(www.randomizer.org)



The screenshot shows the 'RESEARCH RANDOMIZER' website interface. At the top, there are two dice icons and the text 'RESEARCH RANDOMIZER'. On the right side of the top bar, there are links for 'RANDOMIZE' and 'TUTORIAL'. The main heading is 'GENERATE NUMBERS' in large white letters on a green background. Below this, there are several input fields and dropdown menus for configuring the random number generation. Each field has a 'Help' link below it.

Question	Value	Control Type
How many sets of numbers do you want to generate?	2	Text Input
How many numbers per set?	5	Text Input
Number range (e.g., 1-50)	1	Text Input
	10	Text Input
Do you wish each number in a set to remain unique?	Yes	Dropdown
Do you wish to sort the numbers that are generated?	No	Dropdown
How do you wish to view your random numbers?	Place Markers Off	Dropdown

Standard 2 – Trained Regulatory Staff

Example Random Number Generation

(www.randomizer.org)

RESULTS

PRINT
DOWNLOAD
CLOSE

2 Sets of **5 Unique** Numbers Per Set
 Range: From **1** to **10**

Set #1
2, 5, 4, 10, 1

Set #2
7, 1, 2, 3, 9

Please note: By using this service, you agree to abide by the [SPN User Policy](#) and to hold Research Randomizer and its staff harmless in the event that you experience a problem with the program or its results. Although every effort has been made to develop a useful means of generating random numbers, Research Randomizer and its staff do not guarantee the quality or randomness of numbers generated. Any use to which these numbers are put remains the sole responsibility of the user who generated them.

Standard 2 – Trained Regulatory Staff

Step 5: Sampling of Employee Training Files

(Page 2-24, Program Standards Manual)

No.	Randomly Selected Number	Employee Name	<u>Yes</u> Standard 2 Criteria are Met	<u>No</u> Standard 2 Criteria are Not Met	If NO, auditor is to specify why criterion is not met
1	2	Steven Owens			
2	5	Richard Bryan			
3	4	Sue Scooner			
4	10	Joseph Rockdale			
5	1	Billie Sims			
6					
7					
8					
9					
10					
11					
12					
13					
14					
15					

NOTE:

1. All randomly selected employee training records must contain documentation that the Standard 2 training and standardization elements have been successfully completed.
2. Based on the documentation from this worksheet, record your determination for each of the items on the jurisdiction's *Standard 2: Program Self-Assessment and Verification Audit Form*.

Standard 2 – Trained Regulatory Staff

Step 5: Substitute Employee Training Files

No.	Randomly Selected Number	Employee Name	Yes Standard 2 Criteria are Met	No Standard 2 Criteria are Not Met	If NO, auditor is to specify why criterion is not met
1	2	Steven Owens	X		
2	5	Richard Bryan	X		
3	4	Sue Scooner	X		
4	10	Joseph Rockdale			Jurisdiction indicated on Self-Assessment that employee has not met the Standard 2 Training and standardization elements. Randomly selected a Substitute Employee Record (Below #7- Joseph Pruitt)
5	1	Billie Sims	X		
6	Sub for #4	Joseph Pruitt	X		Substitute for Employee Record #10
7					
8					
9					
10					
11					
12					
13					
14					
15					

NOTE:

1. All randomly selected employee training records must contain documentation that the Standard 2 training and standardization elements have been successfully completed.
2. Based on the documentation from this worksheet, record your determination for each of the items on the jurisdiction's *Standard 2: Program Self-Assessment and Verification Audit Form*.

Standard 2 – Trained Regulatory Staff

Step 6: Verification Audit Results

(Page 2-22, Program Standards Manual)

All randomly selected employee training records must contain documentation that the Standard 2 training and standardization elements have been successfully completed

Standard 2 – Trained Regulatory Staff Verification Audit Results

Standard 2: Trained Regulatory Staff Verification Audit Worksheet

No.	Randomly Selected Number	Employee Name	<u>Yes</u> Standard 2 Criteria are Met	<u>No</u> Standard 2 Criteria are Not Met	If NO, auditor is to specify why criterion is not met
1	2	Steven Owens	X		
2	5	Richard Bryan	X		
3	4	Sue Scooner	X		
4	10	Joseph Rockdale			Jurisdiction indicated on Self-Assessment that employee has not met the Standard 2 Training and standardization elements. Randomly selected a Substitute Employee Record (Below #7- Joseph Pruitt)
5	1	Billie Sims	X		
6	Sub for #4	Joseph Pruitt	X		Substitute for Employee Record #10
7					
8					
9					
10					
11					
12					
13					
14					
15					

NOTE:

1. All randomly selected employee training records must contain documentation that the Standard 2 training and standardization elements have been successfully completed.
2. Based on the documentation from this worksheet, record your determination for each of the items on the jurisdiction's *Standard 2: Program Self-Assessment and Verification Audit Form*.

Standard 2 – Trained Regulatory Staff

Step 7: Comparing Audit Results to Performance Criteria

(Page 2-23, Program Standards Manual)

Ninety percent (90%) of the regulatory retail food program inspection staff shall have successfully completed:

- **Steps 1-4** within **24 months** of hire or assignment to the retail food program
- **Step 5** every **36 months** after the initial 24 months of training

Standard 2 – Trained Regulatory Staff Verification Audit Results

Standard 2: Program Assessment Program Self-Assessment and Verification Audit Form

Jurisdiction Name: _____

Step	Criteria	Jurisdiction's Self-Assessment YES	Jurisdiction's Self-Assessment NO	Self-Assessor's General Comments	Auditor's Verification YES	Auditor's Verification NO	If NO, Auditor is to specify why criterion is not met
1. Employee Training Records	a) The jurisdiction maintains a written training record for each employee that includes the date of hire or assignment to the agency's retail food protection program.	X			X		
1. Employee Training Records	b) The jurisdiction's written training record provides documentation that each employee has completed the Standard 2 prerequisite ("Pre") training curriculum PRIOR to conducting independent retail food or foodservice inspections.	X			X		
2. Initial Field Training	a) The jurisdiction maintains a written training record that provides confirmation that each employee completed a minimum of 25 joint field training inspections of retail food and/or foodservice establishments (if less than 25 joint field training inspections are performed, written documentation on file that FSIO has successfully demonstrated all required inspection competencies) PRIOR to conducting retail	X			X		

Participant Manual

Standard 2

Questions 7-10

Page 17

STANDARD 2 VERIFICATION AUDIT PROCESS QUESTIONS



Standard 2

Training File Review Exercise

Standard 1 Regulatory Foundation

Preparing for the Verification Audit



Preparing for the Standard 1 – Verification Audit

Source Documents

- Copy of Program Standard 1
- Clearinghouse Interpretations
- Jurisdiction's Regulations/Ordinance
- Written Policies or Interpretations that carry the same weight as prevailing rules and regulations
- Copy of the current version of the FDA Food Code
<https://www.fda.gov/food/fda-food-code/food-code-2017>



Preparing for the Standard 1 – Verification Audit

Source Documents

- Jurisdictions completed Standard 1: Self-Assessment and Verification Audit Form
- Jurisdiction's Standard 1 Self-Assessment Worksheets or other side-by-side methodology used for Food Code Comparison
 - Public Health Interventions & Risk Factors
 - Good Retail Practices
 - Compliance and Enforcement

Standard 1

Regulatory Foundation

Conducting the Verification Audit



Standard 1

Regulatory Foundation

Regulatory foundation includes any statute, regulation, rule, ordinance, or other set of prevailing set of regulatory requirements.

Standard 1 – Regulatory Foundation

Four Core Requirements

(Page 1-2, Standards Manual)

1. Assessment of the Program's Regulatory Foundation (side-by-side comparison of the Jurisdiction's Food Code to the FDA Food Code)
2. Food Code Interventions and Risk Factors
3. Good Retail Practices
4. Compliance and Enforcement

Standard 1 – Regulatory Foundation

Step 1: Assessment of Program’s Regulatory Foundation



(Page 1-7, Standards Manual)

Criteria	Element	Jurisdiction’s Self-Assessment YES	Jurisdiction’s Self-Assessment NO	Self-Assessor’s General Comments	Auditor’s Verification YES	Auditor’s Verification NO	If NO, Auditor is to specify why criterion is not met
1. Assessment of the Program’s Regulatory Foundation	a) The jurisdiction has documentation that it has performed a side-by-side comparison of its prevailing statutes, regulations, rules, and other pertinent requirements against the current published edition of the <i>FDA Food Code</i> or one of the two most recent previous editions of the <i>FDA Food Code</i> .						
1. Assessment of the Program’s Regulatory Foundation	b) The jurisdiction’s side-by-side comparison includes an assessment of major Food Code Interventions and Risk Factors, Good Retail Practices, and Compliance/ Enforcement Administrative requirements.						
1. Assessment of the Program’s Regulatory Foundation	c) The regulatory foundation assessment clearly identifies the jurisdiction’s corresponding requirement to the applicable <i>Code</i> section. The assessment provides a determination as to whether a specific provision in the jurisdiction’s regulation meets the intent of the corresponding <i>FDA Food Code</i> section.						

Standard 1 – Regulatory Foundation

Step 1: Assessment of Program's Regulatory Foundation



(Pages 1-2 and 1-3, Standards Manual)

Jurisdiction has documentation of:

- Side-by-side comparison of its requirements against the FDA Food Code
- Side-by-side comparison includes provisions for:
 - Food Code Risk Factors & Interventions
 - Good Retail Practices
 - Compliance and Enforcement
- Identifies the jurisdiction's corresponding requirement to the applicable FDA Food Code Section

Standard 1 – Regulatory Foundation

Part I Worksheet: Risk Factors and Interventions



<http://www.fda.gov/retailprogramstandards>

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Voluntary National Retail Food Regulatory Program Standards

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Standard 1: Regulatory Foundation

- [Standard 1 \(PDF: 90KB\)](#)
- [Standard 1 – Self-Assessment and Verification Audit Form \(PDF: 776KB\)](#)
- [Standard 1 – Self-Assessment Instructions and Worksheet for Part I \(PDF: 387KB\)](#)
- [Standard 1 – Self-Assessment Instructions and Worksheet for Part II \(PDF: 1.1MB\)](#)
- [Standard 1 – Self-Assessment Instructions and Worksheet for Part III \(PDF: 234KB\)](#)
- [Standard 1 – Verification Audit Instructions and Worksheet for Part I \(PDF: 720KB\)](#)
- [Standard 1 – Verification Audit Instructions and Worksheet for Part II \(PDF: 687KB\)](#)
- [Standard 1 – Verification Audit Instructions and Worksheet for Part III \(PDF: 683KB\)](#)

Standard 1

Part I

Interventions and Risk Factors

Verification Audit Process



Standard 1 – Regulatory Foundation

Part I - Risk Factors and Interventions

Verification Audit

(Pages 1-64 thru 1-65, Standards Manual)

- Total # of Provisions in Part I = **94**
- Random Selection to include **two sets of 15 numbers** (primary and substitute sample sets)
 - May obtain random numbers from:
www.randomizer.org

Participant Manual



Standard 1

Question 7

Page 8

Standard 1 – Regulatory Foundation

Example Random Number Generation

www.randomizer.org

GENERATE NUMBERS

How many sets of numbers do you want to generate?
Help

How many numbers per set?
Help

Number range (e.g., 1-50)

Help

Do you wish each number in a set to remain unique? Help

Do you wish to sort the numbers that are generated? Help

How do you wish to view your random numbers? Help

RANDOMIZE NOW!

Participant Manual



Standard 1

Question 8

Page 9

Standard 1 – Regulatory Foundation

Example Random Number Generation

RESULTS

[PRINT](#)[DOWNLOAD](#)[CLOSE](#)

2 Sets of 15 Unique Numbers Per Set
Range: From 1 to 94

Set #1

23, 61, 18, 25, 48, 2, 14, 28, 75, 9, 45, 49, 47, 39, 94

Set #2

31, 20, 10, 46, 63, 41, 74, 57, 3, 80, 53, 93, 73, 69, 62

Please note: By using this service, you agree to abide by the [SPN User Policy](#) and to hold Research Randomizer and its staff harmless in the event that you experience a problem with the program or its results. Although every effort has been made to develop a useful means of generating random numbers, Research Randomizer and its staff do not guarantee the quality or randomness of numbers generated. Any use to which these numbers are put remains the sole responsibility of the user who generated them.

Standard 1 – Regulatory Foundation

Part I: Risk Factors and Interventions



Selection of Jurisdiction’s Code Sections to Review

(Page 1-67 Standards Manual)

Part I – Interventions and Risk Factors

Number of Sections Reviewed	Randomly Selected Number	Corresponding <i>Food Code</i> Chapter from Part I Interventions and Risk Factors Self-Assessment Worksheet	Jurisdiction's Corresponding Code Section, Rule, etc.	<u>YES</u> Full Intent is Met	<u>NO</u> Full Intent is not Met	If no, auditor must specify why criterion is not met
1	23					
2	61					
3	18					
4	25					
5	48					
6	2					
7	14					
8	28					
9	75					
10	9					
11	45					
12	49					
13	47					
14	39					
15	94					

Set #1
23, 61, 18, 25, 48, 2, 14, 28, 75, 7, 45, 49, 47, 39, 94

NOTES

1. If there is Agreement that ALL 15 selected code sections meet the stringency of the language criteria in the *FDA Food Code*, proceed to Part II.
2. If one, two or three of the 15 selected code sections do not meet the stringency of the language criteria in the *FDA Food Code*, then complete the Supplemental Part I Section of the Worksheet by randomly selecting another 15 Interventions and Risk Factor code sections to review.
3. If four or more of the 15 selected code sections do not meet the stringency of the language criteria in the *FDA Food Code*, then the jurisdiction does not meet the Standard 1 criteria for *Food Code* Interventions and Risk Factors.

Participant Manual



Standard 1

Question 9

Page 10

Standard 1 – Regulatory Foundation

Part I: Risk Factors and Interventions



Selection of Jurisdiction's Code Sections to Review

Part I – Interventions and Risk Factors

(Page 1-67 Standards Manual)

Number of Sections Reviewed	Randomly Selected Number	Corresponding <i>Food Code</i> Chapter from Part I Interventions and Risk Factors Self-Assessment Worksheet	Jurisdiction's Corresponding Code Section, Rule, etc.	<u>YES</u> Full Intent is Met	<u>NO</u> Full Intent is not Met	If no, auditor must specify why criterion is not met
1	23	3-202.18 Shellstock Identification	3-202.18			
2	61	5-204.11 Handwashing Sinks	5-204.11			
3	18	3-201.16 Wild Mushrooms	3-201.16			
4	25	3-402.11 Parasite Destruction	3-402.11			
5	48	4-501.115 Manual Warewashing Equipment, Chem Sanitization	4-501.115			
6	2	2-102.11 Demonstration	2-102.11			
7	14	3-202.14 Eggs and Milk Products	3-202.14			
8	28	3-401.11 Raw Animal Foods	3-401.11			
9	75	7-209.11 Storage (Personal Care Items)	7-209.11			
10	9	3-603.11 *Consumer Advisory*				
11	45	4-501.11 Mech. Warewashing Equip, Water Sanitization Temp	4-501.11			
12	49	4-601.11 Equipment, Food Contact Surfaces, Nonfood Contact Surface,	4-601.11			
13	47	4-501.114 Manual and Mech. Warewashing Equip	4-501.114			
14	39	3-302.11 Packaged/Unpackaged Food, Senaration and Storage	3-302.11			
15	94	3-801.11 Pasteurized Foods	3-801.11			

NOTES

1. If there is Agreement that ALL 15 selected code sections meet the stringency of the language criteria in the *FDA Food Code*, proceed to Part II.
2. If one, two or three of the 15 selected code sections do not meet the stringency of the language criteria in the *FDA Food Code*, then complete the Supplemental Part I Section of the Worksheet by randomly selecting another 15 Interventions and Risk Factor code sections to review.
3. If four or more of the 15 selected code sections do not meet the stringency of the language criteria in the *FDA Food Code*, then the jurisdiction does not meet the Standard 1 criteria for *Food Code* Interventions and Risk Factors.

Standard 1 – Regulatory Foundation

Part I: Risk Factors and Interventions

Substitute Sampling



RESULTS **PRINT** **DOWNLOAD** **CLOSE**

2 Sets of **15 Unique** Numbers Per Set
Range: From **1** to **94**

Set #1
23, 61, 18, 25, 48, 2, 14, 28, 75, 9, 45, 49, 47, 39, 94

Set #2
31, 20, 10, 46, 63, 41, 74, 57, 3, 80, 53, 93, 73, 69, 62

Please note: By using this service, you agree to abide by the [SPN User Policy](#) and to hold Research Randomizer and its staff harmless in the event that you experience a problem with the program or its results. Although every effort has been made to develop a useful means of generating random numbers, Research Randomizer and its staff do not guarantee the quality or randomness of numbers generated. Any use to which these numbers are put remains the sole responsibility of the user who generated them.

Standard 1 – Regulatory Foundation

Part I: Risk Factors and Interventions



Selection of Jurisdiction’s Code Sections to Review

(Page 1-67 Standards Manual)

Part I – Interventions and Risk Factors

Number of Sections Reviewed	Randomly Selected Number	Corresponding <i>Food Code</i> Chapter from Part I Interventions and Risk Factors Self-Assessment Worksheet	Jurisdiction's Corresponding Code Section, Rule, etc.	<u>YES</u> Full Intent is Met	<u>NO</u> Full Intent is not Met	If no, auditor must specify why criterion is not met
1	23	3-202.18 Shellstock Identification	3-202.18 Shellstock Identification			
2	61	5-204.11 Handwashing Sinks	5-204.11 Handwashing Sinks			
3	18	3-201.16 Wild Mushrooms	3-201.16 Wild Mushrooms			
4	25	3-402.11 Parasite Destruction	3-402.11 Parasite Destruction			
5	48	4-501.115 Manual Warewashing Equipment, Chem Sanitization	4-501.115 Manual Warewashing Equipment, Chem Sanitization			
6	2	2-102.11 Demonstration	2-102.11 Demonstration			
7	14	3-202.14 Eggs and Milk Products	3-202.14 Eggs and Milk Products			
8	28	3-401.11 Raw Animal Foods	3-401.11 Raw Animal Foods			
9	75	7-209.11 Storage (Personal Care Items)	7-209.11 Storage (Personal Care Items)			
10	31	3-403.11 Reheating for Hot Hold	3-403.11 Reheating for Hot Hold			
11	45	4-501.112 Mech. Warewashing Equip. Water Sanitization Temp	4-501.112 Mech. Warewashing Equip. Water Sanitization Temp			
12	49	4-601.11 Equipment Food Contact Surfaces, Nonfood Contact Surfaces	4-601.11 Equipment Food Contact Surfaces, Nonfood Contact Surfaces			
13	47	4-501.114 Manual and Mech. Warewashing Equipment	4-501.114 Manual and Mech. Warewashing Equipment			
14	39	3-302.11 Packaged/Unpackaged Food, Separation and Storage	3-302.11 Packaged/Unpackaged Food, Separation and Storage			
15	94	3-801.11 Pasteurized Foods	3-801.11 Pasteurized Foods			

Participant Manual



Standard 1

Question 10

Page 11

Standard 1 – Regulatory Foundation

Part I: Risk Factors and Interventions

Side-By-Side Review of Food Code Sections (Page 1-67 Standards Manual)



Part I – Interventions and Risk Factors

Number of Sections Reviewed	Randomly Selected Number	Corresponding <i>Food Code</i> Chapter from Part I Interventions and Risk Factors Self-Assessment Worksheet	Jurisdiction's Corresponding Code Section, Rule, etc.	<u>YES</u> Full Intent is Met	<u>NO</u> Full Intent is not Met	If no, auditor must specify why criterion is not met
1	23	3-202.18 Shellstock Identification	3-202.18 Shellstock Identification			
2	61	5-204.11 Handwashing Sinks	5-204.11 Handwashing Sinks			
3	18	3-201.16 Wild Mushrooms	3-201.16 Wild Mushrooms			
4	25	3-402.11 Parasite Destruction	3-402.11 Parasite Destruction			
5	48	4-501.115 Manual Warewashing Equipment, Chem Sanitization	4-501.115 Manual Warewashing Equipment, Chem Sanitization			
6	2	2-102.11 Demonstration	2-102.11 Demonstration			
7	14	3-202.14 Eggs and Milk Products	3-202.14 Eggs and Milk Products			
8	28	3-401.11 Raw Animal Foods	3-401.11 Raw Animal Foods			
9	75	7-209.11 Storage (Personal Care Items)	7-209.11 Storage (Personal Care Items)			
10	31	3-403.11 Reheating for Hot Hold	3-403.11 Reheating for Hot Hold			
11	45	4-501.112 Mech. Warewashing Equip. Water Sanitization Temp	4-501.112 Mech. Warewashing Equip. Water Sanitization Temp			
12	49	4-601.11 Equipment Food Contact Surfaces, Nonfood Contact Surfaces	4-601.11 Equipment Food Contact Surfaces, Nonfood Contact Surfaces			
13	47	4-501.114 Manual and Mech. Warewashing Equipment	4-501.114 Manual and Mech. Warewashing Equipment			
14	39	3-302.11 Packaged/Unpackaged Food, Separation and Storage	3-302.11 Packaged/Unpackaged Food, Separation and Storage			
15	94	3-801.11 Pasteurized Foods	3-801.11 Pasteurized Foods			

Standard 1 – Regulatory Foundation

Verifying Results: Risk Factors and Interventions



(Page 1-65, Standards Manual)

- If **ALL 15** selected provisions pass the audit process, the jurisdiction has successfully met the Standard 1 criteria for Part I.
- If **4 or more** provisions were determined not to be as stringent as the FDA Food Code, the jurisdiction's self-assessment is determined not to have met the Standard 1 criteria

Standard 1 – Regulatory Foundation

Verifying Results: Risk Factors and Interventions



(Page 1-65, Standards Manual)

- If **1, 2, or 3** disagreements you must verify if they still meet the requirements.
 - If 11/11 needed, they do not pass the audit
 - If 9/11 needed, go to the summary tables

Standard 1 – Regulatory Foundation

Part I Worksheet: Risk Factors and Interventions



(Page 1-25, Standards Manual)

Standard 1: Regulatory Foundation Self-Assessment Worksheet

Part I – 2017 Food Code: Interventions and Risk Factor Controls Self-Assessment Results

<i>Food Code</i> Section and Description	YES Standard Criteria Met	NO Standard Criteria Not Met	Self-Assessor's General Comments
1. Demonstration of Knowledge	X		
2. Employee Health	X		
3. Consumer Advisory		X	No consumer advisory provision
4. Approved Sources	X		
5. Time/Temperature	X		
6. Protection from Contamination	X		
7. Control of Hands as a Vehicle of Contamination	X		
8. Good Hygienic Practices	X		
9. Chemical	X		
10. Conformance with Approved Procedures	X		
11. Highly Susceptible Populations	X		

Assessment of _____ indicates conformance with **10** out of the 11 Intervention/Risk Factor Categories (regulatory agency) (# Met)

Standard 1 – Regulatory Foundation

Part I Worksheet: Risk Factors and Interventions



(Page 1-25, Standards Manual)

Standard 1: Regulatory Foundation Self-Assessment Worksheet

Part I – 2017 Food Code: Interventions and Risk Factor Controls Self-Assessment Results

<i>Food Code</i> Section and Description	YES Standard Criteria Met	NO Standard Criteria Not Met	Self-Assessor's General Comments
1. Demonstration of Knowledge	✗		
2. Employee Health	✗		
3. Consumer Advisory		✗	No consumer advisory provision
4. Approved Sources	✗		
5. Time/Temperature		✗	Chicken CL – 135F for 15 seconds
6. Protection from Contamination	✗		
7. Control of Hands as a Vehicle of Contamination	✗		
8. Good Hygienic Practices	✗		
9. Chemical	✗		
10. Conformance with Approved Procedures	✗		
11. Highly Susceptible Populations	✗		

Assessment of _____ indicates conformance with **9** out of the 11 Intervention/Risk Factor Categories (regulatory agency) (# Met)

Standard 1 – Regulatory Foundation

Verifying Results: Risk Factors and Interventions



(Page 1-65, Standards Manual)

- If **3 or fewer** provisions do not meet the stringency language criteria, and they meet the 9/11,
 - Randomly select an additional 15 FDA Food Code provisions
 - Follow same process as used for the original 15 provisions
 - A Supplemental Part I Worksheet is provided to record findings (Page 1-68, Standards Manual)
 - If a provision is selected in the second sampling that was also selected in the original set --- select a substitute (in sequence)

Standard 1 – Regulatory Foundation

Verifying Results: Risk Factors and Interventions



(Page 1-65, Standards Manual)

- No more than **three** total disagreements are acceptable in the **30 Code sections** drawn for comparison
- **AND must meet the 9/11** despite disagreements.

Standard 1 – Regulatory Foundation

Part I Worksheet: Risk Factors and Interventions



(Page 1-25, Standards Manual)

Standard 1: Regulatory Foundation Self-Assessment Worksheet

Part I – 2017 Food Code: Interventions and Risk Factor Controls Self-Assessment Results

<i>Food Code</i> Section and Description	YES Standard Criteria Met	NO Standard Criteria Not Met	Self-Assessor's General Comments
1. Demonstration of Knowledge	✗		
2. Employee Health	✗		
3. Consumer Advisory		✗	No consumer advisory provision
4. Approved Sources	✗		
5. Time/Temperature	✗		
6. Protection from Contamination	✗		
7. Control of Hands as a Vehicle of Contamination		✗	Code allows for minimal bare hand contact with RTE food
8. Good Hygienic Practices	✗		
9. Chemical	✗		
10. Conformance with Approved Procedures	✗		
11. Highly Susceptible Populations	✗		

Assessment of _____ indicates conformance with **9** out of the 11 Intervention/Risk Factor Categories (regulatory agency) (# Met)

Standard 1 – Regulatory Foundation

Verifying Results: Risk Factors and Interventions



(Page 1-25, Standards Manual)

Standard 1: Regulatory Foundation Self-Assessment Worksheet

Part I – 2017 Food Code: Interventions and Risk Factor Controls Self-Assessment Results

<i>Food Code</i> Section and Description	<u>YES</u> Standard Criteria Met	<u>NO</u> Standard Criteria Not Met	Self-Assessor's General Comments
1. Demonstration of Knowledge	✗		
2. Employee Health	✗		
3. Consumer Advisory		✗	No consumer advisory provision
4. Approved Sources	✗		
5. Time/Temperature		✗	Chicken CL – 135F for 15 seconds
6. Protection from Contamination	✗		
7. Control of Hands as a Vehicle of Contamination		✗	Code allows for minimal bare hand contact with RTE food
8. Good Hygienic Practices	✗		
9. Chemical	✗		
10. Conformance with Approved Procedures	✗		
11. Highly Susceptible Populations	✗		

Assessment of _____ indicates conformance with **8** out of the 11 Intervention/Risk Factor Categories (regulatory agency) (# Met)



Standard 1

Part II

Good Retail Practices

Verification Audit Process

Standard 1 – Regulatory Foundation

Verifying Results: Good Retail Practices

Random Selection of Provisions to Review



(Pages 1-69 thru I-70, Standards Manual)

- Total # of Provisions in Part II = **246**
- Random Selection to include **two sets of 13 numbers** (primary and substitute sample sets)
 - May obtain random numbers from:
www.randomizer.org

Participant Manual



Standard 1

Question 11

Page 12

Standard 1 – Regulatory Foundation

Example Random Number Generation



www.randomizer.org

GENERATE NUMBERS

How many sets of numbers do you want to generate? Help

How many numbers per set? Help

Number range (e.g., 1-50) Help

Help

Do you wish each number in a set to remain unique? Help

Do you wish to sort the numbers that are generated? Help

How do you wish to view your random numbers? Help

RANDOMIZE NOW!

Standard 1 – Regulatory Foundation

Example Random Number Generation

RESULTS

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2 Sets of **13 Unique** Numbers Per Set

Range: From **1** to **246**

Set #1

8, 91, 66, 89, 80, 54, 167, 60, 75, 98, 87, 243, 122

Set #2

43, 128, 173, 238, 226, 95, 227, 182, 206, 163, 74, 175, 242

Please note: By using this service, you agree to abide by the [SPN User Policy](#) and to hold Research Randomizer and its staff harmless in the event that you experience a problem with the program or its results. Although every effort has been made to develop a useful means of generating random numbers, Research Randomizer and its staff do not guarantee the quality or randomness of numbers generated. Any use to which these numbers are put remains the sole responsibility of the user who generated them.

Standard 1 – Regulatory Foundation

Verifying Results: Good Retail Practices

Random Selection of Provisions to Review



(Page 1-71, Standards Manual)

Part II – Good Retail Practices

Number of Sections Reviewed	Randomly Selected Number	Corresponding <i>Food Code</i> Chapter from Part I Interventions and Risk Factors Self-Assessment Worksheet	Jurisdiction's Corresponding Code Section, Rule, etc.	<u>YES</u> Full Intent is Met	<u>NO</u> Full Intent is not Met	If no, auditor must specify why criterion is not met
1	8	3-202.19 Shellstock, Condition	3-202.19			
2	91	4-204.18 Warewashing Machine, Flow Pressure Device	4-204.18			
3	66	4-204.110 Molluscan Shellfish Tank				
4	89	4-204.116 Manual Warewashing	4-204.116			
5	80	4-602.13 Nonfood Contact Surf.	4-602.13			
6	54	4-202.12 CIP Equipment	4-202.12			
7	167	5-203.15 Backflow Prevention	5-203.15			
8	60	4-204.12 Equipment Openings	4-204.12			
9	75	4-501.11 Good Repair and Proper Adjustment	4-501.11			
10	98	4-501.14 Warewashing Equip., Cleaning Frequency	4-501.14			
11	87	4-204.114 Warewashing Machine, Internal Baffles	4-204.114			
12	243	6-202.16 Ext. Walls and Roofs, Protective Barrier	6-202.16			
13	122	4-901.11 Equipment and Utensils, Air Drying Req.	4-901.11			

NOTES

1. If there is agreement that ALL 13 selected code sections meet the stringency of the language criteria in the *FDA Food Code*, proceed to Part III.
2. If one, two or three of the 13 selected code sections do not meet the stringency of the language criteria in the *FDA Food Code*, then complete the Supplemental Part II section of the worksheet by randomly selecting another 13 Good Retail Food Practices code sections to review.
3. If four or more of the 13 selected code sections do not meet the stringency of the language criteria in the *Food Code*, then the jurisdiction does not meet the Standard 1 criteria for Part II Good Retail Food Practices.

Standard 1 – Regulatory Foundation

Example Random Number Generation

RESULTS

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2 Sets of **13 Unique** Numbers Per Set

Range: From **1** to **246**

Set #1

8, 91, 66, 89, 80, 54, 167, 60, 75, 98, 87, 243, 122

Set #2

43, 128, 173, 238, 226, 95, 227, 182, 206, 163, 74, 175, 242

Please note: By using this service, you agree to abide by the [SPN User Policy](#) and to hold Research Randomizer and its staff harmless in the event that you experience a problem with the program or its results. Although every effort has been made to develop a useful means of generating random numbers, Research Randomizer and its staff do not guarantee the quality or randomness of numbers generated. Any use to which these numbers are put remains the sole responsibility of the user who generated them.

Standard 1 – Regulatory Foundation

Verifying Results: Good Retail Practices

Random Selection of Provisions to Review



(Page 1-71, Standards Manual)

Part II – Good Retail Practices

Number of Sections Reviewed	Randomly Selected Number	Corresponding <i>Food Code</i> Chapter from Part I Interventions and Risk Factors Self-Assessment Worksheet	Jurisdiction's Corresponding Code Section, Rule, etc.	<u>YES</u> Full Intent is Met	<u>NO</u> Full Intent is not Met	If no, auditor must specify why criterion is not met
1	8	3-202.19 Shellstock, Condition	3-202.19	X		
2	91	4-204.18 Warewashing Machine, Flow Pressure Device	4-204.18	X		
3	43	4-101.11 Characteristics	4-101.11	X		
4	89	4-204.116 Manual Warewashing	4-204.116	X		
5	80	4-602.13 Nonfood Contact Surf.	4-602.13	X		
6	54	4-202.12 CIP Equipment	4-202.12	X		
7	167	5-203.15 Backflow Prevention	5-203.15		X	Only dual check valve required
8	60	4-204.12 Equipment Openings	4-204.12	X		
9	75	4-501.11 Good Repair and Proper Adjustment	4-501.11	X		
10	98	4-501.14 Warewashing Equip., Cleaning Frequency	4-501.14	X		
11	87	4-204.114 Warewashing Machine, Internal Baffles	4-204.114	X		
12	243	6-202.16 Ext. Walls and Roofs, Protective Barrier	6-202.16	X		
13	122	4-901.11 Equipment and Utensils, Air Drying Req.	4-901.11	X		

NOTES

1. If there is agreement that ALL 13 selected code sections meet the stringency of the language criteria in the *FDA Food Code*, proceed to Part III.
2. If one, two or three of the 13 selected code sections do not meet the stringency of the language criteria in the *FDA Food Code*, then complete the Supplemental Part II section of the worksheet by randomly selecting another 13 Good Retail Food Practices code sections to review.
3. If four or more of the 13 selected code sections do not meet the stringency of the language criteria in the *Food Code*, then the jurisdiction does not meet the Standard 1 criteria for Part II Good Retail Food Practices.

Standard 1 – Regulatory Foundation

Verifying Results: Good Retail Practices



(Page 1-70, Standards Manual)

- If **ALL 13** selected provisions pass the audit process, the jurisdiction has successfully met the Standard 1 criteria for Part II
- If **4 or more** provisions were determined not be as stringent as the FDA Food Code, the jurisdiction's self-assessment is determined not to have met the Standard 1 criteria

Standard 1 – Regulatory Foundation

Verifying Results: Good Retail Practices



(Page 1-70, Standards Manual)

- If **1, 2, or 3** provisions do not meet the stringency language criteria, then randomly select an additional 13 FDA Food Code provisions
 - Follow same process as used for the original 13 provisions
 - Do not need to review their summary
 - A Supplemental Part II Worksheet is provided to record findings (Page 1-72, Standards Manual)
 - If a provision is selected in the second sampling that was also selected in the original set --- select a substitute (in sequence)

Standard 1 – Regulatory Foundation

Verifying Results: Good Retail Practices



(Page 1-70, Standards Manual)

No more than **three** total disagreements are acceptable in the **26 Code sections** drawn for comparison



Standard 1

Part III

Compliance & Enforcement Verification Audit Process

Standard 1 – Regulatory Foundation

Verifying Results: Compliance and Enforcement



(Pages 1-73 thru 1-74, Standards Manual)

- Total # of Provisions in Part III = **12**
- Random Selection to include **one set of 5 numbers**
(only a primary set needed)
 - May obtain random numbers from:
www.randomizer.org

Standard 1 – Regulatory Foundation

Example Random Number Generation



RESULTS

PRINT

DOWNLOAD

CLOSE

1 Set of 5 Unique Numbers

Range: From 1 to 12

Set #1

6, 4, 1, 3, 2

Please note: By using this service, you agree to abide by the [SPN User Policy](#) and to hold Research Randomizer and its staff harmless in the event that you experience a problem with the program or its results. Although every effort has been made to develop a useful means of generating random numbers, Research Randomizer and its staff do not guarantee the quality or randomness of numbers generated. Any use to which these numbers are put remains the sole responsibility of the user who generated them.

Standard 1 – Regulatory Foundation

Verifying Results: Compliance and Enforcement



(Page 1-75, Standards Manual)

Part III – Compliance and Enforcement

Number of Sections Reviewed	Randomly Selected Number	Corresponding <i>Food Code</i> Chapter from Part II Good Retail Practices Self-Assessment Worksheet	Jurisdiction's Corresponding Code Section, Rule, etc.	<u>YES</u> Full Intent is Met	<u>NO</u> Full Intent is not Met	If no, auditor must specify why criterion is not met
1	6	8-201.13 When a HACCP Plan is Required	8-201.13	X		
2	4	8-402.20 Refusal, Notification of Right to Access, and Final Request for Access	8-402.20	X		
3	1	8-901.10 Conditions Warranting Remedy	8-901.10	X		
		8-903.10 Hold Order, Justifying Conditions and Removal of Food	8-903.10	X		
		8-903.30 Hold Order, Contents	8-903.30	X		
4	3	8-201.11 When Plans are Required	8-201.11	X		
5	2	8-301.11 Prerequisite for Operation	8-301.11	X		
		8-304.20 Permits Not Transferable	8-304.20	X		

Standard 1 – Regulatory Foundation

Verifying Results: Compliance and Enforcement



(Page 1-74, Standards Manual)

- If **ALL 5** selected provisions pass the audit process, the jurisdiction has successfully completed Part III
- If **1 or more** provisions were determined not to be as stringent as the FDA Food Code, the jurisdiction's self-assessment is determined not to have met the Standard 1 criteria
- Note: exceptions for 7 – variances and 12- penalties

Standard 1 – Regulatory Foundation

Verifying Results Summary



(Pages 1-2 and 1-3, Standards Manual)

- **Part I – 9 out of the 11** Interventions and Risk Factor Controls must have been met
– **(11/11 after 3rd Verification Audit)**
- **Part II – 95%** of the Good Retail Practices provisions must be included in the jurisdiction's Food Code
- **Part III – ALL 12** of the Compliance and Enforcement categories must have been met

Standard 1 – Regulatory Foundation

Verifying Results



(Pages 1-7 thru 1-10, Standards Manual)

Criteria	Element	Jurisdiction's Self-Assessment YES	Jurisdiction's Self-Assessment NO	Self-Assessor's General Comments	Auditor's Verification YES	Auditor's Verification NO	If NO, Auditor is to specify why criterion is not met
1. Assessment of the Program's Regulatory Foundation	a) The jurisdiction has documentation that it has performed a side-by-side comparison of its prevailing statutes, regulations, rules, and other pertinent requirements against the current published edition of the <i>FDA Food Code</i> or one of the two most recent previous editions of the <i>FDA Food Code</i> .	✘			✘		
1. Assessment of the Program's Regulatory Foundation	b) The jurisdiction's side-by-side comparison includes an assessment of major Food Code Interventions and Risk Factors, Good Retail Practices, and Compliance/ Enforcement Administrative requirements.	✘			✘		
1. Assessment of the Program's Regulatory Foundation	c) The regulatory foundation assessment clearly identifies the jurisdiction's corresponding requirement to the applicable <i>Code</i> section. The assessment provides a determination as to whether a specific provision in the jurisdiction's regulation meets the intent of the corresponding <i>FDA Food Code</i> section.	✘			✘		

Participant Manual



Standard 1

Question 12

Page 13

Standard 1 – Regulatory Foundation

(Clearinghouse Std. 1 #1 State Interpretation of When Otherwise Approved vs. Intent of *Food Code*)

Response from Clearinghouse Work Group (02-20-02)

The jurisdiction has adopted the language in Section 3-301.11 verbatim. For this specific provision, the jurisdiction is in compliance with the assessment criteria contained in Standard No. 1.

The language of Standard No. 1, in both the ‘Requirement Summary’ and the ‘Description of Requirement’ states that a jurisdiction’s regulation, rule, or ordinance must have a provision as least as stringent as the specified provisions of the Food Code. According to the information provided, the jurisdiction has adopted 3-301.11 of the 1999 version verbatim.

That meets the stated requirement of Standard No. 1 for the item in question.

The language of 3-301.11 includes a phrase ‘Except . . . as otherwise approved.’ FDA originally anticipated that jurisdictions approving alternatives to the ‘no bare hands contact with ready-to-eat foods’ provision would approve those alternatives that could convincingly address the hazards of fecal/oral contamination and would provide effective management controls to ensure protection of the food. This phrase was intended to allow some flexibility for innovative ideas or advancing technology that might not be foreseen. It was not anticipated that the phrase would be used as a blanket approval for ‘business as usual.’

Later, FDA provided guidance in Annex 3 regarding the kinds of criteria to be used when approving alternative controls to ‘no bare hand contact.’ Standard No. 1 language does not include adherence to guidance or Annex 3 as a condition of meeting the Standard. While the Work Group agrees that the jurisdiction is not meeting the spirit of that provision of the Food Code, it has adopted the regulatory language necessary to protect the public health, which was the goal of Standard 1. It is in the implementation of the regulatory language where the failure occurs. This failure to meet the spirit of the Code cannot be addressed through Standard No. 1. This appears to be a gap in the Standards that was not foreseen and may well need to be addressed. The Standards will doubtless evolve over time with changes and/or additions as stakeholders gain experience and knowledge through their use.

STANDARD 1 VERIFICATION AUDIT QUESTIONS



Standard 2 Trained Regulatory Staff

Review Employee Training Files Exercise

Instructions

1. Employee training files and a template for Standard 2 File Review Exercise were sent to everyone yesterday afternoon.
2. As the auditor, you will be reviewing each employee training file to verify if it meets Standard 2 components.
3. Breakout will be set for 30 minutes, followed by report out – please identify a spokesperson.

Note on the employee files: if a record is listed ‘on file’ then assume the record exists and is adequate.

Standard 2 File Review Exercise Template

Standard 2 File Review Exercise

Steps	Billie Sims	Joseph Pruitt	Richard Bryan	Steven Owens	Sue Scooner
1. "Pre" curriculum					
2. Joint inspections					
3. Independent Inspections					
4. Standardization					
5. 20 Contact Hours					
Meets (Yes/No)					

Word document provided to assist groups with their file review.

Standard 2 File Review Exercise Template

Answers

Steps	Billie Sims	Joseph Pruitt	Richard Bryan	Steven Owens	Sue Scooner
1. "Pre" curriculum	Option 2: Waiver based on REHS	Option 1: Certificates of completion	Option 1: Certificates of completion	Option 2: Affidavit	Option 1: Certificates of completion
2. Joint inspections	Affidavit	Missing	Missing	Waiver	Records 2/2/17 to 3/11/17
3. Independent Inspections	Waiver based on experience	Records 2/15/22 to 8/5/22	Missing	Waiver	Records 2/2/17 to 3/1/17
4. Standardization	Certificate 10/11/23	Certificate 1/2/23	Certificate 1/5/23	Certificate 12/22/23	Re-stdz due 4/21/23
5. 20 Contact Hours	20 CEs documented	36 CEs documented	Pending (due 1/4/26)	Pending (due 12/21/26)	32 CEs documented
Meets (Yes/No)	No	No	No	No	No

Billy Sims- A waiver of the pre & post curriculum training is not valid based solely on REHS credential. (Clearinghouse Std 2 #8, pg 47)

Joseph Pruitt- Joint inspections missing.

Richard Bryan- Joint and independent inspections missing.

Steven Owens- Used Option 2 for required coursework, no documentation of passing 1 of 4 written exam options, no documentation of training on the jurisdiction's prevailing statutes, regulations and/or ordinances. (Program Standards manual pg 2-3)

Sue Scooner- Re-standardization certificate not provided.

STANDARD 2 EXERCISE QUESTIONS



FDA

**U.S. FOOD & DRUG
ADMINISTRATION**

OFFICE OF REGULATORY AFFAIRS

Standard 1 Regulatory Foundation

Food Code Language Review Exercise

Instructions

1. Standard 1 Verification Audit Exercise were out yesterday afternoon (with Standard 2 exercises).
2. As the auditor, you will be reviewing the self-assessor's Food Code language and doing a side-by-side comparison with the 2022 FDA Food Code.
3. Breakout will be set for 30 minutes, followed by report out – please identify a spokesperson.

STANDARD 1 EXERCISE QUESTIONS



Standard 6 Compliance & Enforcement

Preparation for the Verification Audit

Preparing for the Standard 6 Verification Audit

Source Documents



- Copy of Program Standard 6
- Clearinghouse Interpretations
- Jurisdiction's Self-Assessment Verification Audit Form
- Inspection Form
- Step-by-step compliance and enforcement procedures
 - Include policies or interpretations that carry the same weight as compliance and enforcement steps
- Inspection Form
- Reference key which identifies risk factors and interventions on inspection form

Preparing for the Standard 6 Verification Audit

Source Documents



- Documentation that compliance and enforcement action was followed for >80% of sampled establishments
- The inspection history and reports for randomly selected establishment files
- If using Option 3,
 - Written review process, including random selection, and
 - Documentation of equivalence to the “Explanation of the Statistical Model for Standard 6” from a statistician.

Preparing for the Standard 6 Verification Audit

Forms and Worksheets



<http://www.fda.gov/retailprogramstandards>



Standard 6: Compliance and Enforcement

- [Standard 6 \(PDF: 86KB\)](#)
- [Standard 6 – Self-Assessment and Verification Audit Form \(PDF: 826KB\)](#)
- [Standard 6 – Self-Assessment Instructions and Worksheet \(PDF: 1.1MB\)](#)
- [Standard 6 – Verification Audit Instructions and Worksheet \(PDF: 720KB\)](#)
- [Standard 6 – Explanation of Statistical Model \(PDF: 87KB\)](#)
- [Standard 6 – Establishment File Summary \(PDF: 614KB\)](#)
- [Standard 6 – Quick Reference Applicable Food Code Risk Factor Provisions \(PDF: 123KB\)](#)

Standard 6
Compliance & Enforcement
Conducting the Verification Audit

Standard 6

Compliance & Enforcement



Compliance and enforcement activities results in follow-up actions for out-of-control risk factors and timely correction of code violations

Standard 6 – Compliance and Enforcement

Verify Effectiveness of Program



(Pages 6-27 thru 6-31, Standards Manual)

- Step 1: Verify the elements in the written compliance and enforcement plan
 - Written step-by-step procedure
 - How to use compliance and enforcement tools
 - Clear guidance for staff
 - Steps and actions depending on categories of violations
 - Progression when violations are not corrected w/in timeframes
 - Inspection form uses IN, OUT, NO, NA

Standard 6 – Compliance and Enforcement

Verify Effectiveness of Program



(Pages 6-27 thru 6-31, Standards Manual)

- Step 2: Verify the effectiveness of the compliance and enforcement program
 - **PART I:** Verify that the jurisdiction reviewed the appropriate number of files
 - **PART II:** Randomly select establishment files from the jurisdiction's Standard 6 Self-Assessment Worksheet
 - **PART III:** Verify Self-Assessment findings for each selected establishment file
 - **PART IV:** Verify that 80% of selected establishment files meet the jurisdiction's written compliance and enforcement program

Standard 6—Compliance and Enforcement

Part I – Verify the jurisdiction reviewed the appropriate number of files

(Page 6-28, Standards Manual)

Standard 6 – Compliance and Enforcement



Part I – Verify the jurisdiction reviewed the appropriate number of files (Page 6-28, Standards Manual)

- Option 1: Did they review all files?
- Option 2: Did they review the number of files outlined in the table?

Establishment Inventory	Number of Files to Review
Less than 800	40 establishment files
800 or more	5% of the total number of establishments (Up to a maximum of 70 files)

- Option 3: Did the review the number of files in the model outlined by their statistician?

Standard 6—Compliance and Enforcement

Part II – Randomly select establishment files from the jurisdiction’s Self-Assessment Worksheet

(Page 6-29, Standards Manual)

Standard 6 – Compliance and Enforcement

File Sampling for the Verification Audit



(Page 6-29, Standards Manual)

Jurisdiction's Establishment Inventory	Number of Files Included in the Jurisdiction's Self-Assessment	Number of Files to be Selected for the Verification Audit
Less than 800	40 establishment files	5
800 or more	5% of the total number of establishments (Up to a maximum of 70 files)	10

Standard 6 – Compliance and Enforcement

File Sampling for the Verification Audit



(Page 6-29, Standards Manual)

Example:

- 820 establishments in the inventory.
- Self-Assessor reviewed 41 randomly selected files
- Auditor will need review 10, based on the table.

Standard 6 – Compliance and Enforcement



File Sampling for the Verification Audit

www.randomizer.org

RESULTS

PRINT **DOWNLOAD** **CLOSE**

2 Sets of 10 Unique Numbers Per Set
Range From 1 to 41

Set #1
15, 11, 17, 20, 3, 5, 8, 19, 22, 4

Set #2
13, 7, 21, 18, 12, 40, 36, 32, 1, 27,

Please note: By using this service, you agree to abide by the [SPN User Policy](#) and to hold Research Randomizer and its staff harmless in the event that you experience a problem with the program or its results. Although every effort has been made to develop a useful means of generating random numbers, Research Randomizer and its staff do not guarantee the quality or randomness of numbers generated. Any use to which these numbers are put remains the sole responsibility of the user who generated them.

Standard 6 – Compliance and Enforcement

File Sampling for the Verification Audit



www.randomizer.org

RANDOMIZER

GENERATE NUMBERS

How many sets of numbers do you want to generate?

2

< Help

How many numbers per set?

10

< Help

Number range (e.g., 1-50)

1

41

Do you wish each number in a set to remain unique?

YES

< Help

Do you wish to sort the numbers that are generated?

NO

< Help

How do you wish to view your random numbers?

Place Markers Off

< Help

RANDOMIZE NOW!

Standard 6 – Compliance and Enforcement



Part II – Conducting a Random Selection of Establishment Files for Audit (Page 6-29, Standards Manual)

Standard 6: Compliance and Enforcement Verification Audit Worksheet Establishment Files

Jurisdiction Name: Desert County Health Department, AZ

SELECTED ESTABLISHMENT FILES			AUDITOR'S VERIFICATION		
Number of Files Reviewed	Randomly Selected Number	Corresponding Name or ID of Establishment Selected From the Jurisdiction's Self-Assessment Summary Worksheet	YES	NO	If No, Auditor is to specify why the establishment file does not meet all the elements contained in the jurisdiction's written compliance and enforcement procedure
1	15	07392-Only Turf, No Surf Meats			
2	11	07213-East Side Hospital			Selected Establishment was marked "NO" on Self-Assessment Summary Worksheet-Substitute Est-Park Place Produce
3	17	07351-Appetizing Aromas			
4	20	07016-Desert Dogs			
5	3	07335-Cactus Flower Restaurant			
6	5	07101-Desert Flavors			
7	8	07126-Oleander Market			Establishment "DNQ" for the Std 6 review criteria. Use the jurisdiction substitute establishment "Survival Food for audit review.
8	19	07232-Happy Feet Nursing Home			
9	22	07441-Jo-Dan's <u>Road Kill</u> Grill			
10	4	07448-Try It-You'll Like It Diner			
If needed, record information pertaining to substitute establishment files below					

Standard 6 – Compliance and Enforcement



File Sampling for the Verification Audit

www.randomizer.org

RESULTS

PRINT **DOWNLOAD** **CLOSE**

2 Sets of 10 Unique Numbers Per Set
Range From 1 to 41

Set #1
15, 11, 17, 20, 3, 5, 8, 19, 22, 4

Set #2
13, 7, 21, 18, 12, 40, 36, 32, 1, 27,

Please note: By using this service, you agree to abide by the [SPN User Policy](#) and to hold Research Randomizer and its staff harmless in the event that you experience a problem with the program or its results. Although every effort has been made to develop a useful means of generating random numbers, Research Randomizer and its staff do not guarantee the quality or randomness of numbers generated. Any use to which these numbers are put remains the sole responsibility of the user who generated them.

Standard 6 – Compliance and Enforcement



Part II – Conducting a Random Selection of Establishment Files for Audit (Page 6-29, Standards Manual)

Standard 6: Compliance and Enforcement Verification Audit Worksheet Establishment Files

Jurisdiction Name: Desert County Health Department, AZ

SELECTED ESTABLISHMENT FILES			AUDITOR'S VERIFICATION		
Number of Files Reviewed	Randomly Selected Number	Corresponding Name or ID of Establishment Selected From the Jurisdiction's Self-Assessment Summary Worksheet	YES	NO	If No, Auditor is to specify why the establishment file does not meet all the elements contained in the jurisdiction's written compliance and enforcement procedure
1	2	0724 – Palo Verde Cafe			
2	11	07213-East Side Hospital			Selected Establishment was marked "NO" on Self-Assessment Summary Worksheet-Substitute Est-Park Place Produce
3	17	07351-Appetizing Aromas			
4	20	07016-Desert Dogs			
5	3	07335-Cactus Flower Restaurant			
6	5	07101-Desert Flavors			
7	8	07126-Oleander Market			Establishment "DNQ" for the Std 6 review criteria. Use the jurisdiction substitute establishment "Survival Food for audit review.
8	19	07232-Happy Feet Nursing Home			
9	22	07441-Jo-Dan's <u>Road Kill</u> Grill			
10	4	07448-Try It-You'll Like It Diner			
If needed, record information pertaining to substitute establishment files below					
1	13	07234-Park Place Produce			Sub for 07213-East Side Hosp listed as "NO" on SA Summary Worksheet
2		07020-Survival Foods			Sub for 07216-Oleander Manor listed as "DNQ" on SA Summary Worksheet

Standard 6 – Compliance and Enforcement

Part III – Verify the Self-Assessment Findings for each Selected Establishment

Follow the Same Establishment File Review Process as Presented for the Self-Assessment

(Page 6-30, Standards Manual)

Standard 6 Compliance & Enforcement Establishment File Worksheet



(Page 6-35, Standards Manual)

STANDARD 6: COMPLIANCE AND ENFORCEMENT ESTABLISHMENT FILE WORKSHEET

File Number: 2 Establishment Name: Palo Verde Cafe Permit Number: 0724 Inspection Date (Start Point): 07/16/2020

Risk Factor and Food Code Interventions

	Unsafe Sources	Inadequate Cooking	Improper Holding Temperatures: Hot & Cold	Time/ Temperature Parameters Not Met (Time as a Control, date marking, rapid cooling)	Bare Hand Contact with Ready-to-Eat Food	Poor Personal Hygiene	Contaminated Food Contact Equipment	Consumer Advisory (when required)	Demonstration of Knowledge by PIC	Employee Health Control System or Policy Implemented
Reference to local inspection items	1	2,34,5	6,7	8,11	13	14	15	NA	NA	NA
Start Point Inspection Violations		X		X	X	X				
Was on-site corrective action taken?		YES (R,H)		YES(R,H)	YES(GLV)					
Was follow-up corrective action taken?				YES (RCP)		YES(TR)				
Was enforcement action taken?		YES(WL)								

Note:
1. Each column in which a violation is noted must receive a yes response to one of the three questions in order for the file to pass. Additionally, written procedures must have been followed

Was the Written Procedure Followed? YES NO

Jurisdiction's definitions of acronyms and notations used to reflect follow-up action

Acronym /Notation	Definitions	Acronym /Notation	Definitions	Acronym/Notation	Definitions
RH	Reheat to Safe Temp	EM	Embargo		
RCP	Risk Control Plan	TR	Training Required		
WL	Warning Letter Sent	GLV	Implement Glove Use		

File Meets the Standard 6 Criteria: YES NO

Standard 6 – Compliance and Enforcement



Part II – Conducting a Random Selection of Establishment Files for Audit (Page 6-32, Standards Manual)

Standard 6: Compliance and Enforcement Verification Audit Worksheet Establishment Files

Jurisdiction Name: Desert County Health Department, AZ

SELECTED ESTABLISHMENT FILES			AUDITOR'S VERIFICATION		
Number of Files Reviewed	Randomly Selected Number	Corresponding Name or ID of Establishment Selected From the Jurisdiction's Self-Assessment Summary Worksheet	YES	NO	If No, Auditor is to specify why the establishment file does not meet all the elements contained in the jurisdiction's written compliance and enforcement procedure
1	2	0724 – Palo Verde Cafe	X		
2	11	07213-East Side Hospital			Selected Establishment was marked "NO" on Self-Assessment Summary Worksheet-Substitute Est-Park Place Produce
3	17	07351-Appetizing Aromas	X		
4	20	07016-Desert Dogs	X		
5	3	07335-Cactus Flower Restaurant	X		
6	5	07101-Desert Flavors	X		
7	8	07126-Oleander Market			Establishment "DNQ" for the Std 6 review criteria. Use the jurisdiction substitute establishment "Survival Food for audit review.
8	19	07232-Happy Feet Nursing Home	X		
9	22	07441-Jo-Dan's <u>Road Kill</u> Grill	X		
10	4	07448-Try It-You'll Like It Diner	X		
If needed, record information pertaining to substitute establishment files below					
1	13	07234-Park Place Produce	X		Sub for 07213-East Side Hosp listed as "NO" on SA Summary Worksheet
2		07020-Survival Foods	X		Sub for 07216-Oleander Manor listed as "DNQ" on SA Summary Worksheet

Standard 6 – Compliance and Enforcement

Part IV – Verify the Selected Establishment Files Adhere to the Jurisdiction’s Written Compliance and Enforcement Procedures

(Pages 6-30 thru 6-31, Standards Manual)

Standard 6 – Compliance and Enforcement

Verification Audit Results



(Pages 6-30 thru 6-31, Standards Manual)

Jurisdiction with Less Than 800 Establishments

The verification auditor initially randomly selects 5 establishment files to review

- If ALL 5 establishment files pass the audit process, the jurisdiction meets the Standard 6 criteria
- If 2 or more establishment files were determined not to meet all the compliance and enforcement criteria, the jurisdiction's self-assessment does not meet the Standard 6 criteria

Standard 6 – Compliance and Enforcement

Verification Audit Results



(Pages 6-30 thru 6-31, Standards Manual)

Jurisdiction with Less Than 800 Establishments

If **1 establishment file** does not meet the Standard 6 compliance and enforcement criteria, then randomly select an additional **5** establishment files

- Follow same process as used for the original 5 files
- Verification Audit Worksheet used to record findings for establishment files (Pages 6-32 thru 6-34, Standards Manual)
- If a file is selected in the selected sampling that was also selected in the original set—select a substitute

Standard 6 – Compliance and Enforcement

Verification Audit Results



(Pages 6-30 thru 6-31, Standards Manual)

Jurisdiction with Less Than 800 Establishments

- If **NO additional disagreements** in the review of the second set of 5 establishment files are noted, then the jurisdiction meets the Standard 6 criteria.
- If **1 or more** of the additional establishment files fails the audit review, then the Standard 6 criteria is not met. (2 or more total)

Standard 6 – Compliance and Enforcement

Verification Audit Results



(Pages 6-30 thru 6-31, Standards Manual)

Jurisdiction with 800 Establishments or More

The verification auditor initially randomly selects **10** establishment files to review

- If **ALL 10** establishment files pass the audit process, the jurisdiction meets the Standard 6 criteria
- If **3 or more** establishment files were determined not to meet all the compliance and enforcement criteria, the jurisdiction's self-assessment does not meet the Standard 6 criteria

Standard 6 – Compliance and Enforcement

Verification Audit Results



(Pages 6-30 thru 6-31, Standards Manual)

Jurisdiction with 800 Establishments or More

If **1 or 2 establishment files** do not meet the Standard 6 compliance and enforcement criteria, then randomly select an additional **10** establishment files

- Follow same process as used for the original 10 files
- Verification Audit Worksheet used to record findings for establishment files (Pages 6-32 thru 6-34, Standards Manual)
- If a file is selected in the selected sampling that was also selected in the original set --- select a substitute

Standard 6 – Compliance and Enforcement

Verification Audit Results



(Pages 6-30 thru 6-31, Standards Manual)

Jurisdiction with 800 Establishments or More

- **No more than a total of two of the 20 establishment files drawn** can be determined by the auditor as not meeting the Standard 6 criteria
- If more than two establishment files fail the audit review, the Standard 6 criteria is not met

Standard 6 – Compliance and Enforcement

Verification Audit Results

(Page 6-7, Standards Manual)



Standard 6: Compliance and Enforcement Program Self-Assessment and Verification Audit Form

Jurisdiction Name: _____

Program Elements	Criteria	Jurisdiction's Self-Assessment YES	Jurisdiction's Self-Assessment NO	Self-Assessor's General Comments	Auditor's Verification YES	Auditor's Verification NO	If NO, Auditor is to specify why criterion is not met
1. Compliance and Enforcement Procedure	a) The jurisdiction has a written step-by-step compliance and enforcement procedure that describes what actions and tools (i.e., forms, documents, interventions) are to be used to achieve compliance.	X			X		
1. Compliance and Enforcement Procedure	b) The jurisdiction's inspection form(s) record and quantify the compliance status of foodborne illness risk factors, <i>Food Code</i> interventions and other serious code violations.	X			X		
2. Assessment of Effectiveness	a) The jurisdiction has written documentation that verifies the review of the effectiveness of the staff's implementation of the program's compliance and enforcement procedure that includes a selection of establishment files for review in accordance with the Standard criteria.	X			X		



Participant Manual

Standard 6

Question 9

Page 32



Standard 6 – Compliance and Enforcement

File Sampling for the Verification Audit

(Page 6-28, Standards Manual)

Jurisdiction's Establishment Inventory	Number of Files Included in the Jurisdiction's Self-Assessment	Number of Files to be Selected for the Verification Audit
Less than 800	40 establishment files	5
800 or more	5% of the total number of establishments (Up to a maximum of 70 files)	10

Participant Manual

Standard 6

Question 10

Page 32

STANDARD 6 VERIFICATION AUDIT QUESTIONS

