

## STANDARD 1 – REGULATORY FOUNDATION INSTRUCTIONS AND WORKSHEET FOR CONDUCTING A SELF-ASSESSMENT

### Part I – *Food Code* Interventions and Risk Factor Controls

#### STEP 1 – Review *Food Code* Interventions and Risk Factor Controls

The jurisdiction's regulatory foundation must contain requirements that are at least as stringent as the public health interventions/risk factor provisions contained in the *FDA Food Code*. Part I of the *Standard 1: Self-Assessment Worksheet*, included at the end of these instructions, contains 11 public health interventions and risk factor controls:

1. Demonstration of Knowledge
2. Employee Health
3. Consumer Advisory
4. Approved Source
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 Approved Procedures
11. Highly Susceptible Populations

To meet any one of the 11 elements described above, the SELF-ASSESSMENT must indicate that the jurisdiction's regulatory requirements address each *FDA Food Code* section listed under that element.

**NOTE:** *If a jurisdiction adopted the current published edition or one of the two most recent editions of the FDA Food Code by reference, a side-by-side comparison of the language is not necessary. Adoption by reference meets the criteria of the Standard.*

#### STEP 2 - Conduct the Self-Assessment for Part I

The self-assessor must compare the jurisdiction's code, regulation or ordinance with the *FDA Food Code* sections grouped under each of the 11 public health interventions and risk factor control measures listed in Part I of the *Standard 1: Self-Assessment Worksheet*. For each *FDA Food Code* section, the self-assessor must:

- Record the corresponding jurisdiction requirement; and
- Document his/her determination:
  - If **full intent** of the *FDA Food Code* section is met, place an "X" in the appropriate column.
  - If **partial intent** of the *FDA Food Code* section is met, identify language that is not included with the jurisdiction's requirement. Indicate whether the language is addressed in another jurisdiction statute, ordinance, or regulatory requirement.
  - If **no corresponding regulation exists**, indicate "No Compliance" in the appropriate column and provide any information that may explain why it is not part of the jurisdiction's current requirements.

### STEP 3 – Document the Self-Assessment Results for Part I

A summary table is provided in Part I of the *Standard 1: Regulatory Foundation Self-Assessment Worksheet* to document the results of the SELF-ASSESSMENT for each of the 11 public health intervention and risk factor control measures. For each public health intervention and risk factor control measure, the self-assessor must record the findings from the SELF-ASSESSMENT. If each *Food Code* section listed under an Intervention/ Risk Factor has a check in the “Full Intent is Met” column, the Standard criteria is met. Place an “X” in the Self-Assessment Results “YES” column.

If any of the *FDA Food Code* sections are missing, or the jurisdiction's regulatory requirements only partially meet the intent of the language, place an “X” in the Self-Assessment Results “NO” column for that intervention/risk factor control measure.

At the bottom of Part I of the *Standard 1: Regulatory Foundation Self-Assessment Worksheet*, the self-assessor must record the jurisdiction’s name and the number of interventions/RISK FACTORS that are met. For initial participation and listing purposes, the jurisdiction’s SELF-ASSESSMENT must indicate conformance with at least nine of the 11 intervention/risk factor categories. By the third VERIFICATION AUDIT, the jurisdiction must meet 11 of the 11 intervention/risk factor control categories in order to meet the Standard 1 criteria.

Examples of documents that may be reviewed:

- The jurisdiction’s statute, regulation, rule, ordinance, or other prevailing set of regulatory requirements that govern the operation of its food establishments;
- Version of the *FDA Food Code* that was used for the SELF-ASSESSMENT;
- Completed *Standard 1: Self-Assessment Worksheet, Part I – Food Code Interventions and Risk Factor Controls*; and
- If applicable, documents discussing or comparing code provisions excepted if adoption was made by reference with exceptions.

**STANDARD 1 – REGULATORY FOUNDATION  
SELF-ASSESSMENT WORKSHEET**

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

**SECTION 1 – DEMONSTRATION OF KNOWLEDGE**

<i>FDA 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>FDA 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				

**SECTION 2 – EMPLOYEE HEALTH**

<i>FDA 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>FDA Food Code</i> section is NOT Met (Indicate the situation)
5. 2-201.11 – Responsibility of Permit Holder, Person in Charge, and Conditional Employees				

<i>FDA 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>FDA Food Code</i> section is NOT Met (Indicate the situation)
6. 2-201.12 – Exclusions and Restrictions				
7. 2-201.13 – Removal, Adjustment, or Retention of Exclusions and Restrictions				
8. 2-501.11– Clean-up of Vomiting and Diarrheal Events				

**SECTION 3 – CONSUMER ADVISORY**

<i>FDA 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>FDA Food Code</i> section is NOT Met (Indicate the situation)
9. 3-603.11 – Consumption of Animal Foods that are Raw, Undercooked, or Not Otherwise Processed to Eliminate Pathogens				

**SECTION 4 – APPROVED SOURCE**

<i>FDA 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>FDA Food Code</i> section is NOT Met (Indicate the situation)
10. 3-201.11 – Compliance with Food Law				
11. 3-201.12 – Food in a Hermetically Sealed Container				
12. 3-201.13 – Fluid Milk and Milk Products				
13. 3-202.13 – Eggs				
14. 3-202.14 – Eggs and Milk Products, Pasteurized				
15. 5-101.13 – Bottled Drinking Water				
16. 3-201.14 – Fish				
17. 3-201.15 – Molluscan Shellfish				
18. 3-201.16 – Wild Mushrooms				
19. 3-201.17 – Game Animals				

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<i>FDA 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>FDA Food Code</i> section is NOT Met (Indicate the situation)
20. 3-101.11 – Safe, Unadulterated, and Honestly Presented				
21. 3-202.11 – Temperature				
22. 3-202.15 – Package Integrity				
23. 3-202.18 – Molluscan Shellfish, Packaging and Identification				
24. 3-203.12 – Molluscan Shellfish, Maintaining Identification				
25. 3-402.11 – Parasite Destruction				
26. 3-402.12 – Records, Creation, and Retention				
27. 3-202.110 – Juice Treated				

**SECTION 5 – TIME/TEMPERATURE**

<i>FDA 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>FDA Food Code</i> section is NOT Met (Indicate the situation)
28. 3-401.11 – Raw Animal Foods				
29. 3-401.12 – Microwave Cooking				
30. 3-401.14 – Non-Continuous Cooking of Raw Animal Foods				
31. 3-401.15 - Manufacturer Cooking Instructions				
32. 3-403.11 – Reheating for Hot Holding				
33. 3-501.14 – Cooling				
34. 3-501.15 – Cooling Method				
35. 3-501.16 – Time/Temperature Control for Safety Food, Hot and Cold Holding				
36. 3-501.17 – Ready-to-Eat, Time/Temperature Control for Safety Food, Date Marking				
37. 3-501.18 – Ready-to-Eat, Time/Temperature Control for Safety Food, Disposition				

<i>FDA 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>FDA Food Code</i> section is NOT Met (Indicate the situation)
38. 3-501.19 – Time as a Public Health Control				

**SECTION 6 – PROTECTION FROM CONTAMINATION**

<i>FDA 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>FDA Food Code</i> section is NOT Met (Indicate the situation)
39. 3-301.12 – Preventing Contamination When Tasting				
40. 3-302.11 – Packaged/Unpackaged Food – Separation, Packaging, and Segregation				
41. 3-304.11 – Food Contact with Equipment and Utensils				
42. 3-306.14 – Returned Food and Re-Service of Food				
43. 3-701.11 – Discarding or Reconditioning Unsafe, Adulterated, or Contaminated Food				
44. 4-201.12 – Food Temperature Measuring Devices				



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<i>FDA 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>FDA Food Code</i> section is NOT Met (Indicate the situation)
45. 4-501.111 – Manual Warewashing Equipment, Hot Water Sanitization Temperatures				
46. 4-501.112 – Mechanical Warewashing Equipment, Hot Water Sanitization Temperatures				
47. 4-501.113 – Mechanical Warewashing Equipment, Sanitization Pressure				
48. 4-501.114 – Manual and Mechanical Warewashing Equipment, Chemical Sanitization – Temperature, pH, Concentration, and Hardness				
49. 4-501.115 – Manual Warewashing Equipment, Chemical Sanitization Using Detergent-Sanitizers				
50. 4-601.11 – Equipment, Food-Contact Surfaces, Non-Food-Contact Surfaces, and Utensils				
51. 4-602.11 - Equipment Food-Contact Surfaces and Utensils				
52. 4-602.12 – Cooking and Baking Equipment				
53. 4-702.11 – Before Use After Cleaning				
54. 4-703.11 – Hot Water and Chemical				

**SECTION 7 – CONTROL OF HANDS AS A VEHICLE OF CONTAMINATION**

<i>FDA 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>FDA Food Code</i> section is NOT Met (Indicate the situation)
55. 2-301.11 – Clean Condition				
56. 2-301.12 – Cleaning Procedure				
57. 2-301.14 – When to Wash				
58. 2-301.15 – Where to Wash				
59. 2-301.16 – Hand Antiseptics				
60. 3-301.11 – Preventing Contamination from Hands				
61. 5-203.11 – Handwashing Sinks (Numbers/ Capacities)				
62. 5-204.11 – Handwashing Sinks (Location/ Placement)				
63. 5-205.11 – Using a Handwashing Sink				
64. 6-301.11 – Handwashing Cleanser, Availability				

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<i>FDA 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>FDA Food Code</i> section is NOT Met (Indicate the situation)
65. 6-301.12 – Hand Drying Provision				
66. 6-301.13 – Handwashing Aids and Devices, Use Restrictions				
67. 6-501.18 – Cleaning of Plumbing Fixtures				

**SECTION 8 – GOOD HYGIENIC PRACTICES**

<i>FDA 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>FDA Food Code</i> section is NOT Met (Indicate the situation)
68. 2-401.11 - Eating, Drinking, or Using Tobacco				
69. 2-401.12 – Discharges from the Eyes, Nose, and Mouth				
70. 2-401.13 - Bandage, Finger Cot, Stall				

**SECTION 9 – CHEMICAL**

<i>FDA Food Code</i> Section	Jurisdiction's Corresponding Code Section, Rule, etc.	<b><u>YES</u></b> Full Intent is Met	<b><u>Partial Compliance</u></b> List what is not covered (Additional sheets can be used for explanations and comments)	<b><u>NO</u></b> Compliance with the <i>FDA Food Code</i> section is NOT Met (Indicate the situation)
71. 3-202.12 – Additives				
72. 3-302.14 – Protection from Unapproved Additives				
73. 7-207.11 – Restriction and Storage				
74. 7-207.12 – Refrigerated Medicines, Storage				
75. 7-208.11 – Storage (First Aid Supplies)				
76. 7-209.11 – Storage (Personal Care Items)				
77. 7-101.11 – Identifying Information, Prominence				
78. 7-102.11 – Common Name				
79. 7-201.11 – Separation				
80. 7-202.11 – Restriction				
81. 7-202.12 – Conditions of Use				

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<i>FDA 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>FDA Food Code</i> section is NOT Met (Indicate the situation)
82. 7-203.11 – Poisonous or Toxic Material Containers				
83. 7-204.11 – Sanitizers, Criteria				
84. 7-204.12 – Chemicals for Washing, Treatment, Storage and Processing Fruits and Vegetables, Criteria				
85. 7-204.13 – Boiler Water Additives, Criteria				
86. 7-204.14 – Drying Agents, Criteria				
87. 7-205.11 – Incidental Food Contact, Criteria				
88. 7-206.11 – Restricted Use Pesticides, Criteria				
89. 7-206.12 – Rodent Bait Stations				
90. 7-206.13 – Tracking Powders, Pest Control and Monitoring				
91. 7-301.11 – Separation (Retail Sale)				

**SECTION 10 – CONFORMANCE WITH APPROVED PROCEDURES**

<i>FDA 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>FDA Food Code</i> section is NOT Met (Indicate the situation)
92. 3-404.11 – Treating Juice				
93. 3-502.11 – Variance Requirement				
94. 3-502.12 – Reduced Oxygen Packaging Without a Variance, Criteria				

**SECTION 11 – HIGHLY SUSCEPTIBLE POPULATIONS**

<i>FDA 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>FDA Food Code</i> section is NOT Met (Indicate the situation)
95. 3-801.11 – Pasteurized Foods, Prohibited Reservice, and Prohibited Foods				

## STANDARD 1 – REGULATORY FOUNDATION SELF-ASSESSMENT WORKSHEET

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

<i>FDA 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			
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 Approved Procedures			
11. Highly Susceptible Populations			

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