

INSTRUCTIONS AND WORKSHEET FOR CONDUCTING A SELF-ASSESSMENT

STANDARD 1 - REGULATORY FOUNDATION

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 *Food Code* section listed under that element.

STEP 2 - Conduct the Self-Assessment for Part I

The self-assessor must compare the jurisdiction's code, regulation or ordinance with the *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 *Food Code* section, the self-assessor must:

- Record the corresponding jurisdiction requirement; and
- Document his/her determination:
 - If **Full Intent** of the *Food Code* section is met, place an "X" in the appropriate column.
 - If **Partial Intent** of the *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: 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 *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: 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 9 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 *Food Code* that was used for the self-assessment
- Completed *Standard 1: Self-Assessment Worksheet*
 - * Part I – *Food Code* Interventions and Risk Factor Controls
- 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 – 2017 Food Code: Interventions and Risk Factor Controls

SECTION 1 – DEMONSTRATION OF KNOWLEDGE

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

SECTION 2 – EMPLOYEE HEALTH

Item No.	Food Code Section	Jurisdiction's Corresponding Code Section, Rule, etc.	YES Full Intent is Met	Partial Compliance List what is not covered (Additional sheets can be used for explanations and comments)	NO 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		<input type="checkbox"/>		

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Item No.	Food Code Section	Jurisdiction's Corresponding Code Section, Rule, etc.	YES Full Intent is Met	Partial Compliance List what is not covered (Additional sheets can be used for explanations and comments)	NO Compliance with the <i>Food Code</i> section is NOT Met (Indicate the Situation)
6	2-201.12 – Exclusions and Restrictions		<input type="checkbox"/>		
7	2-201.13 – Removal, Adjustment, or Retention of Exclusions and Restrictions		<input type="checkbox"/>		
8	2-501.11 – Clean-up of Vomiting and Diarrheal Events		<input type="checkbox"/>		

SECTION 3 – CONSUMER ADVISORY

Item No.	Food Code Section	Jurisdiction's Corresponding Code Section, Rule, etc.	YES Full Intent is Met	Partial Compliance List what is not covered (Additional sheets can be used for explanations and comments)	NO Compliance with the <i>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		<input type="checkbox"/>		

SECTION 4 – APPROVED SOURCE

Item No.	<i>Food Code Section</i>	Jurisdiction's Corresponding Code Section, Rule, etc.	YES Full Intent is Met	Partial Compliance List what is not covered (Additional sheets can be used for explanations and comments)	NO Compliance with the <i>Food Code</i> section is NOT Met (Indicate the Situation)
10	3-201.11 – Compliance with Food Law		<input type="checkbox"/>		
11	3-201.12 – Food in a Hermetically Sealed Container		<input type="checkbox"/>		
12	3-201.13 – Fluid Milk and Milk Products		<input type="checkbox"/>		
13	3-202.13 – Eggs		<input type="checkbox"/>		
14	3-202.14 – Eggs and Milk Products, Pasteurized		<input type="checkbox"/>		
15	5-101.13 – Bottled Drinking Water		<input type="checkbox"/>		
16	3-201.14 – Fish		<input type="checkbox"/>		
17	3-201.15 – Molluscan Shellfish		<input type="checkbox"/>		

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Item No.	<i>Food Code Section</i>	Jurisdiction's Corresponding Code Section, Rule, etc.	YES Full Intent is Met	Partial Compliance List what is not covered (Additional sheets can be used for explanations and comments)	NO Compliance with the <i>Food Code</i> section is NOT Met (Indicate the Situation)
18	3-201.16 – Wild Mushrooms		<input type="checkbox"/>		
19	3-201.17 – Game Animals		<input type="checkbox"/>		
20	3-101.11 – Safe, Unadulterated, and Honestly Presented		<input type="checkbox"/>		
21	3-202.11 – Temperature		<input type="checkbox"/>		
22	3-202.15 – Package Integrity		<input type="checkbox"/>		
23	3-202.18 – Shellstock Identification		<input type="checkbox"/>		
24	3-203.12 – Shellstock, Maintaining Identification		<input type="checkbox"/>		
25	3-402.11 – Parasite Destruction		<input type="checkbox"/>		

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Item No.	<i>Food Code Section</i>	Jurisdiction's Corresponding Code Section, Rule, etc.	YES Full Intent is Met	Partial Compliance List what is not covered (Additional sheets can be used for explanations and comments)	NO Compliance with the <i>Food Code</i> section is NOT Met (Indicate the Situation)
26	3-402.12 – Records, Creation, and Retention		<input type="checkbox"/>		
27	3-202.110 – Juice Treated		<input type="checkbox"/>		

SECTION 5 – TIME/TEMPERATURE

Item No.	<i>Food Code Section</i>	Jurisdiction's Corresponding Code Section, Rule, etc.	YES Full Intent is Met	Partial Compliance List what is not covered (Additional sheets can be used for explanations and comments)	NO Compliance with the <i>Food Code</i> section is NOT Met (Indicate the Situation)
28	3-401.11 – Raw Animal Foods		<input type="checkbox"/>		
29	3-401.12 – Microwave Cooking		<input type="checkbox"/>		
30	3-401.14 – Non-Continuous Cooking of Raw Animal Foods		<input type="checkbox"/>		
31	3-403.11 – Reheating for Hot Holding		<input type="checkbox"/>		

SECTION 5 – TIME/TEMPERATURE

Item No.	<i>Food Code Section</i>	Jurisdiction's Corresponding Code Section, Rule, etc.	YES Full Intent is Met	Partial Compliance List what is not covered (Additional sheets can be used for explanations and comments)	NO Compliance with the <i>Food Code</i> section is NOT Met (Indicate the Situation)
32	3-501.14 – Cooling		<input type="checkbox"/>		
33	3-501.15 – Cooling Method		<input type="checkbox"/>		
34	3-501.16 – Time/Temperature Control for Safety Food, Hot and Cold Holding		<input type="checkbox"/>		
35	3-501.17 – Ready-to-Eat, Time/Temperature Control for Safety Food, Date Marking		<input type="checkbox"/>		
36	3-501.18 – Ready-to-Eat, Time/Temperature Control for Safety Food, Disposition		<input type="checkbox"/>		
37	3-501.19 – Time as a Public Health Control		<input type="checkbox"/>		

SECTION 6 – PROTECTION FROM CONTAMINATION

Item No.	<i>Food Code Section</i>	Jurisdiction's Corresponding Code Section, Rule, etc.	YES Full Intent is Met	Partial Compliance List what is not covered (Additional sheets can be used for explanations and comments)	NO Compliance with the <i>Food Code</i> section is NOT Met (Indicate the Situation)
38	3-301.12 – Preventing Contamination When Tasting		<input type="checkbox"/>		
39	3-302.11 – Packaged/Unpackaged Food – Separation, Packaging, and Segregation		<input type="checkbox"/>		
40	3-304.11 – Food Contact with Equipment and Utensils		<input type="checkbox"/>		
41	3-306.14 – Returned Food and Re-Service of Food		<input type="checkbox"/>		
42	3-701.11 – Discarding or Reconditioning Unsafe, Adulterated, or Contaminated Food		<input type="checkbox"/>		
43	4-201.12 – Food Temperature Measuring Devices		<input type="checkbox"/>		
44	4-501.111 – Manual Warewashing Equipment, Hot Water Sanitization Temperatures		<input type="checkbox"/>		
45	4-501.112 – Mechanical Warewashing Equipment, Hot Water Sanitization Temperatures		<input type="checkbox"/>		

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Item No.	<i>Food Code</i> Section	Jurisdiction's Corresponding Code Section, Rule, etc.	YES Full Intent is Met	Partial Compliance List what is not covered (Additional sheets can be used for explanations and comments)	NO Compliance with the <i>Food Code</i> section is NOT Met (Indicate the Situation)
46	4-501.113 – Mechanical Warewashing Equipment, Sanitization Pressure		<input type="checkbox"/>		
47	4-501.114 – Manual and Mechanical Warewashing Equipment, Chemical Sanitization – Temperature, pH, Concentration, and Hardness		<input type="checkbox"/>		
48	4-501.115 – Manual Warewashing Equipment, Chemical Sanitization Using Detergent-Sanitizers		<input type="checkbox"/>		
49	4-601.11 – Equipment, Food-Contact Surfaces, Non Food-Contact Surfaces, and Utensils		<input type="checkbox"/>		
50	4-602.11 - Equipment Food-Contact Surfaces and Utensils		<input type="checkbox"/>		
51	4-602.12 – Cooking and Baking Equipment		<input type="checkbox"/>		
52	4-702.11 – Before Use After Cleaning		<input type="checkbox"/>		
53	4-703.11 – Hot Water and Chemical		<input type="checkbox"/>		

SECTION 7 – CONTROL OF HANDS AS A VEHICLE OF CONTAMINATION

Item No.	<i>Food Code Section</i>	Jurisdiction's Corresponding Code Section, Rule, etc.	YES Full Intent is Met	Partial Compliance List what is not covered (Additional sheets can be used for explanations and comments)	NO Compliance with the <i>Food Code</i> section is NOT Met (Indicate the Situation)
54	2-301.11 – Clean Condition		<input type="checkbox"/>		
55	2-301.12 – Cleaning Procedure		<input type="checkbox"/>		
56	2-301.14 – When to Wash		<input type="checkbox"/>		
57	2-301.15 – Where to Wash		<input type="checkbox"/>		
58	2-301.16 – Hand Antiseptics		<input type="checkbox"/>		
59	3-301.11 – Preventing Contamination from Hands		<input type="checkbox"/>		
60	5-203.11 – Handwashing Sinks (<i>Numbers/ Capacities</i>)		<input type="checkbox"/>		
61	5-204.11 – Handwashing Sinks (<i>Location/ Placement</i>)		<input type="checkbox"/>		

SECTION 7 – CONTROL OF HANDS AS A VEHICLE OF CONTAMINATION

Item No.	Food Code Section	Jurisdiction's Corresponding Code Section, Rule, etc.	YES Full Intent is Met	Partial Compliance List what is not covered (Additional sheets can be used for explanations and comments)	NO Compliance with the <i>Food Code</i> section is NOT Met (Indicate the Situation)
62	5-205.11 – Using a Handwashing Sink		<input type="checkbox"/>		
63	6-301.11 – Handwashing Cleanser, Availability		<input type="checkbox"/>		
64	6-301.12 – Hand Drying Provision		<input type="checkbox"/>		
65	6-301.13 – Handwashing Aids and Devices, Use Restrictions		<input type="checkbox"/>		
66	6-501.18 – Cleaning of Plumbing Fixtures		<input type="checkbox"/>		

SECTION 8 – GOOD HYGIENIC PRACTICES

Item No.	Food Code Section	Jurisdiction's Corresponding Code Section, Rule, etc.	YES Full Intent is Met	Partial Compliance List what is not covered (Additional sheets can be used for explanations and comments)	NO Compliance with the <i>Food Code</i> section is NOT Met (Indicate the Situation)
67	2-401.11 - Eating, Drinking, or Using Tobacco		<input type="checkbox"/>		

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Item No.	Food Code Section	Jurisdiction's Corresponding Code Section, Rule, etc.	YES Full Intent is Met	Partial Compliance List what is not covered (Additional sheets can be used for explanations and comments)	NO Compliance with the <i>Food Code</i> section is NOT Met (Indicate the Situation)
68	2-401.12 – Discharges from the Eyes, Nose, and Mouth		<input type="checkbox"/>		
69	2-401.13 - Bandage, Finger Cot, Stall		<input type="checkbox"/>		

SECTION 9 – CHEMICAL

Item No.	Food Code Section	Jurisdiction's Corresponding Code Section, Rule, etc.	YES Full Intent is Met	Partial Compliance List what is not covered (Additional sheets can be used for explanations and comments)	NO Compliance with the <i>Food Code</i> section is NOT Met (Indicate the Situation)
70	3-202.12 – Additives		<input type="checkbox"/>		
71	3-302.14 – Protection from Unapproved Additives		<input type="checkbox"/>		
72	7-207.11 – Restriction and Storage		<input type="checkbox"/>		
73	7-207.12 – Refrigerated Medicines, Storage		<input type="checkbox"/>		
74	7-208.11 – Storage (First Aid Supplies)		<input type="checkbox"/>		

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75	7-209.11 – Storage (Personal Care Items)		<input type="checkbox"/>		
76	7-101.11 – Identifying Information, Prominence		<input type="checkbox"/>		
77	7-102.11 – Common Name		<input type="checkbox"/>		
78	7-201.11 – Separation		<input type="checkbox"/>		
79	7-202.11 – Restriction		<input type="checkbox"/>		
80	7-202.12 – Conditions of Use		<input type="checkbox"/>		
81	7-203.11 – Poisonous or Toxic Material Containers		<input type="checkbox"/>		
82	7-204.11 – Sanitizers, Criteria		<input type="checkbox"/>		

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Item No.	<i>Food Code Section</i>	Jurisdiction's Corresponding Code Section, Rule, etc.	YES Full Intent is Met	Partial Compliance List what is not covered (Additional sheets can be used for explanations and comments)	NO Compliance with the <i>Food Code</i> section is NOT Met (Indicate the Situation)
83	7-204.12 – Chemicals for Washing, Treatment, Storage and Processing Fruits and Vegetables, Criteria		<input type="checkbox"/>		
84	7-204.13 – Boiler Water Additives, Criteria		<input type="checkbox"/>		
85	7-204.14 – Drying Agents, Criteria		<input type="checkbox"/>		
86	7-205.11 – Incidental Food Contact, Criteria		<input type="checkbox"/>		
87	7-206.11 – Restricted Use Pesticides, Criteria		<input type="checkbox"/>		
88	7-206.12 – Rodent Bait Stations		<input type="checkbox"/>		
89	7-206.13 – Tracking Powders, Pest Control and Monitoring		<input type="checkbox"/>		
90	7-301.11 – Separation (Retail Sale)		<input type="checkbox"/>		

SECTION 10 – CONFORMANCE WITH APPROVED PROCEDURES

Item No.	Food Code Section	Jurisdiction's Corresponding Code Section, Rule, etc.	YES Full Intent is Met	Partial Compliance List what is not covered (Additional sheets can be used for explanations and comments)	NO Compliance with the <i>Food Code</i> section is NOT Met (Indicate the Situation)
91	3-404.11 – Treating Juice		<input type="checkbox"/>		
92	3-502.11 – Variance Requirement		<input type="checkbox"/>		
93	3-502.12 – Reduced Oxygen Packaging Without a Variance, Criteria		<input type="checkbox"/>		

SECTION 11 – HIGHLY SUSCEPTIBLE POPULATIONS

Item No.	Food Code Section	Jurisdiction's Corresponding Code Section, Rule, etc.	YES Full Intent is Met	Partial Compliance List what is not covered (Additional sheets can be used for explanations and comments)	NO Compliance with the <i>Food Code</i> section is NOT Met (Indicate the Situation)
94	3-801.11 – Pasteurized Foods, Prohibited Reservice, and Prohibited Foods		<input type="checkbox"/>		

Standard 1: Regulatory Foundation Self-Assessment Worksheet

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

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

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