

INSTRUCTIONS FOR COMPLETING THE PROGRAM SELF-ASSESSMENT AND VERIFICATION AUDIT FORM

STANDARD 3 – INSPECTION PROGRAM BASED ON HACCP PRINCIPLES

Program Self-Assessment & Verification Audit Form

The *Standard 3: Program Self-Assessment and Verification Audit Form* is designed to document the findings from the self-assessment and the verification audit process for Standard 3. The form is included at the end of these instructions. Whether one is performing a program self-assessment or conducting a verification audit, it is recommended that the form be available as a reference to the Standards 3 criteria.

Using the Program Self-Assessment and Verification Audit Form

Documenting the Findings from the Self Assessment

Jurisdictions conducting a self-assessment of Standard 3 must indicate on the form if each of the listed criteria is met. These responses are recorded under the column “Jurisdiction’s Self Assessment.”

Jurisdictions are not obligated to use this form. An equivalent form or process is acceptable provided that the results of the jurisdiction’s self-assessment for the specific Standard 3 criteria listed on this form are available for review.

The *Standard 3: Program Self-Assessment and Verification Audit Form* is the only form a jurisdiction needs to use to record the results of their self-assessment. Standard 3 requires inspection policies to be established, written, and implemented. A policy without documentation of implementation does not meet the Standard 3 criteria.

The *Standard 3: Program Self-Assessment and Verification Audit Form* divides the Standard 3 criteria into six steps:

1. Inspection Form Design
 - a. The jurisdiction's inspection form identifies foodborne illness risk factors and *Food Code interventions*.
 - b. The jurisdiction's inspection form documents actual observations using the convention IN, OUT, NA, and NO.
 - c. The jurisdiction's inspection form documents compliance and enforcement activities.
2. Risk Assessment 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.
3. Inspection Frequency
 - a. The jurisdiction's inspection frequency is based on assigned risk categories.

4. Corrective Action Policy
 - a. The jurisdiction has a written and implemented policy that requires on-site corrective action for foodborne illness risk factors observed to be out of compliance.
 - b. The jurisdiction has a written and implemented policy that requires discussion for long-term control of foodborne illness risk factors.
 - c. The jurisdiction has a written and implemented policy that requires follow-up activities on foodborne illness risk factor violations.
5. Variance Request Policy
 - 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 Plan Policy
 - 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 *Food Code*.

The self-assessor must review each Standard 3 criterion and determine if the jurisdiction's source documents confirm that the Standard criteria are met. If the criteria are met, the self-assessor must place an "X" in the "YES" box under the "Jurisdiction's Self-Assessment" column of the *Standard 3: Program Self-Assessment and Verification Audit Form*.

If a review of the jurisdiction's source documents does not confirm that the Standard 3 criteria are met, the self-assessor must place an "X" in the "NO" box under the "Jurisdiction's Self-Assessment" column of the *Standard 3: Program Self-Assessment and Verification Audit Form*. The self-assessor may specify why the criteria are not met in the box provided.

The self-assessor should review the findings on the *Standard 3: Program Self-Assessment and Verification Form* to ensure accuracy. The jurisdiction will be required to provide the auditor with their completed *Standard 3: Program Self-Assessment and Verification Audit Form* and any documents used to support and demonstrate that the Standard 3 criteria have been met.

Once all the criteria have been reviewed and documented on the form, the self-assessor must complete the Program Self-Assessment Summary section on page one of the *Standard 3: Program Self-Assessment and Verification Audit Form*. The self-assessor must:

- Enter their contact information;
- Document if the jurisdiction met the Standard 3 criteria in the appropriate boxes; and
- Sign the form where indicated.

It then will be up to the jurisdiction to determine its action plan and time frame for correcting any deficiencies in order to meet the Standard 3 criteria.

Documenting the Findings from the Verification Audit

The jurisdiction requesting the verification audit must provide their completed *Standard 3: Program Self-Assessment and Verification Audit Form* to the auditor for review. The auditor must indicate on the *Standard 3: Program Self-Assessment and Verification Audit Form* if the criteria were met.

If a review of the jurisdiction’s source documents confirms the self-assessment conclusion that the Standard criteria are met, the verification auditor places an “X” in the “YES” box under the “Auditor’s Verification” column of the form.

If a review of the jurisdiction’s source documents does not confirm the self-assessment conclusion that the Standard criteria are met, the verification auditor places an “X” in the “NO” box under the “Auditor’s Verification” column of the form. The verification auditor must specify why the criterion is not met in the box provided. Supplemental pages may be used to explain findings.

The jurisdiction must meet all six program performance criteria outlined in Standard 3.

The verification auditor must discuss their findings with the program manager or their appointed representative and provide constructive feedback at the conclusion of the on-site visit. In particular, any Standard 3 criteria for which the auditor cannot confirm through a review of the self-assessment should be thoroughly discussed. Ample time should be allotted to ensure that there is a clear understanding of the reasons for the “non-conforming” finding. The auditor should be prepared to identify the elements required for the jurisdiction to meet the Standard.

Once the close out interview has been conducted, the auditor must complete the Verification Audit Summary section located on the first page of the *Standard 3: Program Self-Assessment and Verification Audit Form*. The auditor must:

- Enter their contact information;
- Document if the jurisdiction met the Standard 3 criteria in the appropriate boxes; and
- Sign the form where indicated.

It then will be up to the jurisdiction to determine its action plan and time frame for correcting any deficiencies in order to meet the Standard 3 criteria if the auditor does not confirm the self-assessment findings.

Standard 3: Inspection Program Based On HACCP Principles Program Self-Assessment and Verification Audit Form

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: YES <input type="checkbox"/> NO <input type="checkbox"/>		
<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: YES <input type="checkbox"/> NO <input type="checkbox"/>		
<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
Program Self-Assessment and Verification Audit Form**

Jurisdiction Name:

Criteria	Jurisdiction's Self-Assessment			Auditor's Verification		
	YES	NO	Self-Assessor's General Comments	YES	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.	<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	
b) The jurisdiction's inspection form documents actual observations using the convention IN, OUT, NA, and NO.	<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	
c) The jurisdiction's inspection form documents compliance and enforcement activities.	<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	
2. Risk Assessment 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.	<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	
3. Inspection Frequency						
a) The jurisdiction's inspection frequency is based on the assigned risk categories.	<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	
4. Written and Implemented Corrective Action Policy						
a) The jurisdiction has a written and implemented policy that requires on-site corrective action for foodborne illness risk factors observed to be out of compliance.	<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	
b) The jurisdiction has a written and implemented policy that requires discussion for long-term control of foodborne illness risk factors.	<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	

Criteria	Jurisdiction's Self-Assessment			Auditor's Verification		
	YES	NO	Self-Assessor's General Comments	YES	NO	If NO, Auditor is to specify why criterion is not met
c) The jurisdiction has a written and implemented policy that requires follow-up activities on foodborne illness risk factor violations.	<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	
5. Variance Requests						
a) The jurisdiction has a written and implemented policy on variance requests related to foodborne illness risk factors and <i>Food Code</i> interventions.	<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	
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.	<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	

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