

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

STANDARD 4 – UNIFORM INSPECTION PROGRAM

Program Self-Assessment & Verification Audit Form

The *Standard 4: Program Self-Assessment and Verification Audit Form* is designed to document the findings from the self-assessment and the verification audit process. 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 4 criteria.

Using the Program Self-Assessment and Verification Audit Form

Documenting the Findings from the Self-Assessment

Jurisdictions conducting a self-assessment of Standard 4 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 4 criteria listed on this form are available for review.

The *Standard 4: Self-Assessment and Verification Audit Form* is divided into three steps:

1. A quality assurance program that:
 - a. Is described in a written document and covers all inspection personnel performing food service or retail food inspections,
 - b. Is monitored regularly and consistently as described in the written document, and
 - c. Has determined corrective actions that will be taken whenever quality and consistency problems are identified,
2. Demonstration of review and monitoring methods for the concepts in the twenty quality elements, and
3. Demonstration of program effectiveness using the provided statistical method¹.

The self-assessor must review each Standard 4 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 4: Program Self-Assessment and Verification Audit Form*.

If a review of the jurisdiction's source documents does not confirm that the Standard 4 criteria are met, the self-assessor must place an “X” in the “NO” box under the “Jurisdiction's Self-Assessment” column of the Standard 4 Program Self-Assessment and Verification Audit Form. The self-assessor may specify why the criteria are not met in the box provided.

¹ - This Standard criterion requires a statistical measure of the program’s effectiveness. Instructions for conducting the statistical measure of program effectiveness are provided beginning on the Standard 4: Self-Assessment Worksheet

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The self-assessor should review the findings on the Standard 4: Program Self-Assessment and Verification Form to ensure accuracy. The jurisdiction must provide the auditor with their completed Standard 4: Program Self-Assessment and Verification Audit Form and any documents used to support and demonstrate that the Standard 4 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 4: Program Self-Assessment and Verification Audit Form. The self-assessor must:

- Enter their contact information;
- Document if the jurisdiction met the Standard 4 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 4 criteria.

Documenting the Findings from the Verification Audit

The jurisdiction requesting the verification audit must provide their completed *Standard 4: Program Self-Assessment and Verification Audit Form* to the auditor for review. The auditor must indicate on the *Standard 4: 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 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 4 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 4: Program Self-Assessment and Verification Audit Form*. The auditor must:

- Enter their contact information;
- Document if the jurisdiction met the Standard 4 criteria in the appropriate box;
- 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 4 criteria if the auditor does not confirm the self-assessment findings.

**Standard 4: Uniform Inspection Program
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 4 Self-Assessment was Completed:			
Self-Assessment indicates that the Jurisdiction MEETS the Standard 4 criteria: <input type="checkbox"/> YES <input type="checkbox"/> NO			
<i>I affirm that the information represented in the Self-Assessment of Standard4 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 4 was Completed:			
Verification Audit indicates that the Jurisdiction MEETS the Standard 4 criteria: <input type="checkbox"/> YES <input type="checkbox"/> NO			
<i>I affirm that the information represented in the Verification Audit of Standard 4 is true and correct</i>			
Signature of the Verification Auditor:			

**Standard 4: Uniform Inspection Program
Program Self-Assessment and Verification Audit Form**

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. 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.						
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.						
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.						
2. Twenty Quality Assurance Program 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.						
I. The jurisdiction's quality assurance program assures that each inspector has the required equipment and forms to conduct the inspection.						
II. The jurisdiction's quality assurance program assures that each inspector reviews the contents of the establishment file, including the previous inspection report, reported complaints on file, and, if applicable, required HACCP Plans or documents supporting the issuance of a variance.						

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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
2. Twenty Quality Assurance Program Elements (contd.)						
III. The jurisdiction's quality assurance program assures that each inspector verifies that the establishment is in the proper risk category and that the required inspection frequency is being met, Informs the supervisor when the establishment is not in the proper risk category or when frequency is not met.						
IV. The jurisdiction's quality assurance program assures that each inspector provides identification as a regulatory official to the person in charge and states the purpose of the visit.						
V. The jurisdiction's quality assurance program assures that each inspector interprets and applies the jurisdiction's laws, rules, policies, procedures, and regulations required for conducting retail food inspections.						
VI. The jurisdiction's quality assurance program assures that each inspector uses a risk-based inspection methodology to conduct the inspection.						
VII. The jurisdiction's quality assurance program assures that each inspector accurately determines the compliance status of each risk factor and Food Code intervention (i.e., IN compliance, OUT of compliance, Not Observed, or Not Applicable).						
VIII. The jurisdiction's quality assurance program assures that each inspector obtains corrective action for out-of-compliance risk factors and Food Code interventions in accordance with the jurisdictions policies.						

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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
2. Twenty Quality Assurance Program Elements (contd.)						
IX. The jurisdiction's quality assurance program assures that each inspector 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. Options may include, but are not limited to, risk control plans, standard operating procedures, equipment and/or facility modification, menu modification, buyer specifications, remedial training, or HACCP Plans.						
X. The jurisdiction's quality assurance program assures that each inspector 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.						
XI. The jurisdiction's quality assurance program assures that each inspector conducts an exit interview that explains the out-of-compliance observations, corrective actions, and timeframes for correction, in accordance with the jurisdiction's policies.						
XII. The jurisdiction's quality assurance program assures that each inspector provides the inspection report and, when necessary, cross-referenced documents, to the person in charge or permit holder, in accordance with the jurisdiction's policies.						
XIII. The jurisdiction's quality assurance program assures that each inspector demonstrates proper sanitary practices as expected from a food service employee.						

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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
2. Twenty Quality Assurance Program Elements (contd.)						
XIV. The jurisdiction's quality assurance program assures that each inspector completed the inspection form per the jurisdiction's policies (i.e., observations, public health reasons, applicable code reference, compliance dates).						
XV. The jurisdiction's quality assurance program assures that each inspector document the status of each risk factor and intervention (IN, OUT, NA, NO).						
XVI. The jurisdiction's quality assurance program assures that each inspector cites the proper code provisions for risk factors and Food Code interventions, in accordance with the jurisdiction's policies.						
XVII. The jurisdiction's quality assurance program assures that each inspector documents corrective action for out-of-compliance risk factors and Food Code interventions in accordance with the jurisdiction's policies.						
XVIII. The jurisdiction's quality assurance program assures that each inspector documents that options for the long-term control of risk factors were discussed with establishment managers when the same out-of-control risk factor occurs on consecutive inspections. Options may include, but are not limited to, risk control plans, standard operating procedures, equipment and/or facility modification, menu modification, buyer specifications, remedial training, or HACCP Plans.						

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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
2. Twenty Quality Assurance Program Elements (contd.)						
XIX. The jurisdiction's quality assurance program assures that each inspector accurately completes compliance or regulatory documents (i.e., exhibits, attachments, sample forms), appropriately cross-references them within the inspection report, and includes them with the inspection report, in accordance with the jurisdiction's policies.						
XX. The jurisdiction's quality assurance program assures that each inspector files reports and other documentation in a timely manner, in accordance with the jurisdiction's policies.						
3. Demonstration of Program Effectiveness Using the Statistical Method in Standard 4: Self-Assessment Worksheet						
a. The program effectiveness measure documents that 2 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.]						
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.						

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

Empty box for notes.