STANDARD 6 – COMPLIANCE AND ENFORCEMENT
INSTRUCTIONS FOR COMPLETING THE PROGRAM SELF-ASSESSMENT AND VERIFICATION AUDIT FORM

Program Self-Assessment and Verification Audit Form

The *Standard 6: Program Self-Assessment and Verification Audit Form* is designed to document the findings from the SELF-ASSESSMENT and the VERIFICATION AUDIT process for Standard 6. 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 6 criteria.

Using the Program Self-Assessment and Verification Audit Form

Documenting the Findings from the Self-Assessment

Jurisdictions conducting a SELF-ASSESSMENT of Standard 6 must indicate on the form if each of the criteria is met. These responses are recorded under the column "Jurisdiction's Self-Assessment."

The self-assessor must review each Standard 6 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 6: Program Self-Assessment and Verification Audit Form*.

If a review of the jurisdiction's source documents does not confirm that the Standard 6 criteria are met, the self-assessor must place an "X" in the "NO" box under the "Jurisdiction's Self-Assessment" column of the *Standard 6: 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 6: Program Self-Assessment and Verification Form* to ensure accuracy. The jurisdiction will be required to provide the AUDITOR with their completed *Standard 6: Program Self-Assessment and Verification Audit Form* and any documents used to support and demonstrate that the Standard 6 criteria have been met.

Once all the Standard 6 criteria have been reviewed and the findings from the *Standard 6: Establishment File Worksheet* and the *Standard 6: Self-Assessment Summary Worksheet* documented on the form, the self-assessor must complete the Program Self-Assessment Summary section on page one of the *Standard 6: Program Self-Assessment and Verification Audit Form*. The self-assessor must:

- Enter their contact information;
- Document if the jurisdiction met the Standard 6 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 6 criteria.

Documenting the Findings from the Verification Audit
The jurisdiction requesting the VERIFICATION AUDIT must provide their completed *Standard 6: Program Self-Assessment and Verification Audit Form* to the AUDITOR for review. The AUDITOR must indicate on the *Standard 6: 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 and "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 VERIFICATION AUDIT. In particular, any Standard 6 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, audit must complete the Verification Audit Summary section located on the first page of the *Standard 6: Program Self-Assessment and Verification Audit Form*. The AUDITOR must:

- Enter their contact information;
- Document if the jurisdiction met the Standard 6 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 6 criteria if the AUDITOR does not confirm the SELF-ASSESSMENT findings.

STANDARD 6 – COMPLIANCE AND ENFORCEMENT
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 6 Self-Assessment Was Completed:	
Self-Assessment Indicates That the Jurisdiction MEETS the Standard 6 Criteria (Indicate YES/NO):	
I affirm that the information represented in the Self-Assessment of Standard 6 is true and correct. **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 6 Was Completed:	
Verification Audit Indicates That the Jurisdiction MEETS the Standard 6 Criteria (Indicate YES/NO):	
I affirm that the information represented in the Verification Audit of Standard 6 is true and correct. **Signature of the Verification Auditor:**	

STANDARD 6 – COMPLIANCE AND ENFORCEMENT
PROGRAM SELF-ASSESSMENT AND VERIFICATION AUDIT FORM

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. 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, *Food Code* interventions and other serious code violations.						
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.						

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