

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

### STANDARD 8 – PROGRAM SUPPORT AND RESOURCES

#### **Program Self-Assessment & Verification Audit Form**

The *Standard 8: 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 8 criteria.

#### **Using the Program Self-Assessment and Verification Audit Form**

##### *Documenting the Findings from the Self Assessment*

Jurisdictions conducting a self-assessment of Standard 8 must indicate on the form if each of the criteria is met. The self-assessor must record their findings under the column “Jurisdiction’s Self Assessment.”

Jurisdictions are not obligated to use the form. An equivalent form or process is acceptable provided that the results of the jurisdiction’s self-assessment for the specific Standard 8 criteria listed on the form are available for review.

The self-assessor must review each Standard 8 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 8 Program Self-Assessment and Verification Audit Form.

If a review of the jurisdiction’s source documents does not confirm that the Standard 8 criteria are met, the self-assessor must place an “X” in the “NO” box under the “Jurisdiction’s Self-Assessment” column of the *Standard 8: 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 8: Program Self-Assessment and Verification Form* to ensure accuracy. The jurisdiction will be required to provide the auditor with their completed *Standard 8: Program Self-Assessment and Verification Audit Form* and any documents used to support and demonstrate that the Standard 8 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 8: Program Self-Assessment and Verification Audit Form*. The self-assessor must:

- Enter their contact information;
- Document if the jurisdiction met the Standard 8 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 8 criteria.

*Documenting the Findings from the Verification Audit*

The jurisdiction requesting the verification audit must provide their completed *Standard 8: Program Self-Assessment and Verification Audit Form* to the auditor for review. The auditor must indicate on the 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. 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 8: Program Self-Assessment and Verification Audit Form*. The auditor must:

- Enter their contact information;
- Document if the jurisdiction met the Standard 8 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 8 criteria if the auditor does not confirm the self-assessment findings.

## Standard 8: Program Support and Resources Program Self-Assessment and Verification Audit Form

### PROGRAM SELF-ASSESSMENT SUMMARY

<b>Printed Name of the Person who conducted the Self-Assessment:</b>		
<b>Self-Assessor's Title:</b>		
<b>Jurisdiction Name:</b>		
<b>Jurisdiction Address:</b>		
<b>Phone:</b>	<b>FAX:</b>	<b>E-mail:</b>
<b>Date the Standard 8 Self-Assessment was Completed:</b>		
Self-Assessment indicates that the Jurisdiction MEETS the Standard 8 criteria: YES <input type="checkbox"/> NO <input type="checkbox"/>		
<i>I affirm that the information represented in the Self-Assessment of Standard 8 is true and correct</i>		
<b>Signature of the Self-Assessor:</b>		

### VERIFICATION AUDIT SUMMARY

<b>Printed Name of the Person who conducted the Verification Audit:</b>		
<b>Verification Auditor's Title:</b>		
<b>Auditor's Jurisdiction Name:</b>		
<b>Auditor's Jurisdiction Address:</b>		
<b>Phone:</b>	<b>FAX:</b>	<b>E-mail:</b>
<b>Date the Verification Audit of Standard 8 was Completed:</b>		
Verification Audit indicates that the Jurisdiction MEETS the Standard 8 criteria: YES <input type="checkbox"/> NO <input type="checkbox"/>		
<i>I affirm that the information represented in the Verification Audit of Standard 8 is true and correct</i>		
<b>Signature of the Verification Auditor:</b>		

## Standard 8: Program Support and Resources 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
<b>1. Staffing Level - FTE's per Inspections Performed</b>						
a) The jurisdiction has written documentation, calculations, or a program resource assessment that demonstrates a staffing level of one FTE for every 280-320 retail food program inspections performed.	<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	
<b>2. Inspection Equipment</b>						
a) The jurisdiction can show through written records, equipment inventories, or actual observations that each retail food program inspector has a head cover, thermocouple, flashlight, sanitization test kit, heat sensitive tapes or maximum registering thermometer, and necessary forms and administrative materials.	<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	
b) The jurisdiction has written procedures for obtaining the use of computers, cameras, black lights, pH meters, foodborne illness kits, sample collection kits, data loggers, and cell phones should this equipment not be part of the agency's general inventory.	<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	
<b>3. Administrative Program Support</b>						
a) The jurisdiction has written documentation, calculations, or a program resource assessment that demonstrates sufficient equipment is available to support the record keeping system utilized by the program.	<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
b) The jurisdiction has a system in place to collect, analyze, retain, and report pertinent information required to manage and implement the program.	<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	
<b>4. Program Resource Assessment</b>						
a) The jurisdiction has conducted an assessment to determine if the agency has the budget, staffing, and equipment necessary to meet Standard #1 - Regulatory Foundation.	<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	
b) The jurisdiction has conducted an assessment to determine if the agency has the budget, staffing, and equipment necessary to meet Standard #2 - Trained Regulatory Staff.	<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	
c) The jurisdiction has conducted an assessment to determine if the agency has the budget, staffing, and equipment necessary to meet Standard #3 - Inspection Program Based on HACCP Principles.	<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	
d) The jurisdiction has conducted an assessment to determine if the agency has the budget, staffing, and equipment necessary to meet Standard #4 - Uniform Inspection Program.	<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	
e) The jurisdiction has conducted an assessment to determine if the agency has the budget, staffing, and equipment necessary to meet Standard #5 - Foodborne Illness and Food Security Preparedness and Response.	<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	
f) The jurisdiction has conducted an assessment to determine if the agency has the budget, staffing, and equipment necessary to meet Standard #6 - Compliance and Enforcement.	<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	
g) The jurisdiction has conducted an assessment to determine if the agency has the budget, staffing, and equipment necessary to meet Standard #7 - Industry and Community Relations.	<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	

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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
h. The jurisdiction has conducted an assessment to determine if the agency has the budget, staffing, and equipment necessary to meet Standard #9 - Program Assessment.	<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	

**Standard 8: Program Support and Resources**  
**Program Self-Assessment and Verification Audit Form**

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

*A “yes” affirmation to criteria 1-3 and 4 (h) is required to meet Standard 8. Disclosure and analysis only is required for criteria 4 (a/i except h). If an item contains multiple questions, then all questions must be answered in the affirmative in order to meet that element of the Standard. The source documents, such as the various policies and procedures, that support this summary record must be maintained in good order by the regulatory authority and must be made available upon request for purposes of a verification audit.*