

INSTRUCTIONS AND WORKSHEET FOR CONDUCTING A VERIFICATION AUDIT

STANDARD 1 - REGULATORY FOUNDATION

Part II – Good Retail Practices

STEP 1 – Review the Self-Assessment conducted for Good Retail Practices

To meet the Standard 1 criteria for Good Retail Practices, a jurisdiction's regulations must have a corresponding requirement for 95 percent of the *Food Code* sections listed in Part II of the Self-Assessment Worksheet. The auditor must examine the jurisdiction's Standard 1: Self-Assessment Worksheet to verify that an assessment has been made for each of the 246 Good Retail Food Practices *Food Code* sections. The auditor must determine if the jurisdiction identified at least 234 *Food Code* sections (95%) that meet the criteria for stringency of language compared to the *Food Code*.

STEP 2 – Determine Good Retail Practices Sections to Review

The verification auditor must randomly select 13 *Food Code* sections as part of the Part II review process for Good Retail Practices. A list of random numbers can be obtained from the "Randomizer" web link: www.randomizer.org. Using the jurisdiction's self-assessment worksheet, the verification auditor must identify the *Food Code* sections that correspond to the randomly selected numbers recorded on the Part II - Good Retail Practices Verification Audit Worksheet. The worksheet is included at the end of the instructions.

The auditor should only review those *Food Code* sections that the jurisdiction indicated were met. If a Good Retail Practice *Food Code* section is selected that the jurisdiction indicated was not met, the verification auditor should select a substitute *Food Code* section to review.

STEP 3 – Confirm Findings for Good Retail Practices

The auditor must review the randomly selected *Food Code* sections. The auditor must compare the language in each of the selected jurisdiction food code sections to verify that it is at least as stringent as the corresponding *FDA Food Code* section language. The language may be more stringent, but not less stringent. Record an "X" in the appropriate box based on the determination.

Yes - Full Intent is Met

or

No - Full Intent is not Met

In instances where the verification auditor determined that the jurisdiction's language does not meet the criterion, an explanation must be provided on the Verification Audit Worksheet. The auditor must record the explanation under the column "If No, Auditor is to specify why the criterion is not met."

STEP 4 – Document the Verification Audit Results for Part I

To meet the Part II – Good Retail Practices element of Standard 1, the jurisdiction's regulatory requirements must have a corresponding requirement for 95 percent of the *FDA Food Code* sections listed in Part II of the *Standard 1: Self-Assessment Worksheet*.

If four or more of the 13 selected *Food Code* sections do not meet the stringency of language criteria, the Part II element fails to meet the criteria, and no further sampling is necessary. If one, two or three of the 13 selected food code sections do not meet the stringency of the language criteria, then the auditor must randomly select an additional 13 *Food Code* sections. No more than three total disagreements are acceptable in the twenty-six (26) food code sections drawn for comparison in order for the audit to confirm that the Part II element of Standard 1 was met.

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 II – Good Retail Practices
- If applicable, documents discussing or comparing code provisions excepted if adoption was made by reference with exceptions.

Standard 1: Regulatory Foundation Verification Audit Worksheet

Part II – Good Retail Practices

| Number of Sections Reviewed | Randomly Selected Number | Corresponding <i>Food Code</i> Chapter from Part II Good Retail Practices Self-Assessment Worksheet | Jurisdiction's Corresponding Code Section, Rule, etc. | YES Full Intent is Met | NO Full Intent is not Met | If no, auditor must specify why criterion is not met |
|-----------------------------|--------------------------|---|---|--------------------------|---------------------------|--|
| 1 | | | | <input type="checkbox"/> | <input type="checkbox"/> | |
| 2 | | | | <input type="checkbox"/> | <input type="checkbox"/> | |
| 3 | | | | <input type="checkbox"/> | <input type="checkbox"/> | |
| 4 | | | | <input type="checkbox"/> | <input type="checkbox"/> | |
| 5 | | | | <input type="checkbox"/> | <input type="checkbox"/> | |
| 6 | | | | <input type="checkbox"/> | <input type="checkbox"/> | |
| 7 | | | | <input type="checkbox"/> | <input type="checkbox"/> | |
| 8 | | | | <input type="checkbox"/> | <input type="checkbox"/> | |
| 9 | | | | <input type="checkbox"/> | <input type="checkbox"/> | |
| 10 | | | | <input type="checkbox"/> | <input type="checkbox"/> | |
| 11 | | | | <input type="checkbox"/> | <input type="checkbox"/> | |
| 12 | | | | <input type="checkbox"/> | <input type="checkbox"/> | |
| 13 | | | | <input type="checkbox"/> | <input type="checkbox"/> | |

NOTES

1. If there is agreement that ALL 13 selected code sections meet the stringency of the language criteria in the *FDA Food Code*, proceed to Part III.
2. If one, two or three of the 13 selected code sections do not meet the stringency of the language criteria in the *FDA Food Code*, then complete the Supplemental Part II section of the worksheet by randomly selecting another 13 Good Retail Food Practices code sections to review.
3. If four or more of the 13 selected code sections do not meet the stringency of the language criteria in the *Food Code*, then the jurisdiction does not meet the Standard 1 criteria for Part II Good Retail Food Practices.

**Standard 1: Regulatory Foundation
Verification Audit Worksheet**
Supplement to Part II – Good Retail Practices

| Number of Sections Reviewed | Randomly Selected Number | Corresponding <i>Food Code</i> Chapter from Part I Interventions and Risk Factors Self-Assessment Worksheet | Jurisdiction's Corresponding Code Section, Rule, etc. | YES Full Intent is Met | NO Full Intent is not Met | If no, auditor must specify why criterion is not met |
|-----------------------------|--------------------------|---|---|--------------------------|---------------------------|--|
| 1 | | | | <input type="checkbox"/> | <input type="checkbox"/> | |
| 2 | | | | <input type="checkbox"/> | <input type="checkbox"/> | |
| 3 | | | | <input type="checkbox"/> | <input type="checkbox"/> | |
| 4 | | | | <input type="checkbox"/> | <input type="checkbox"/> | |
| 5 | | | | <input type="checkbox"/> | <input type="checkbox"/> | |
| 6 | | | | <input type="checkbox"/> | <input type="checkbox"/> | |
| 7 | | | | <input type="checkbox"/> | <input type="checkbox"/> | |
| 8 | | | | <input type="checkbox"/> | <input type="checkbox"/> | |
| 9 | | | | <input type="checkbox"/> | <input type="checkbox"/> | |
| 10 | | | | <input type="checkbox"/> | <input type="checkbox"/> | |
| 11 | | | | <input type="checkbox"/> | <input type="checkbox"/> | |
| 12 | | | | <input type="checkbox"/> | <input type="checkbox"/> | |
| 13 | | | | <input type="checkbox"/> | <input type="checkbox"/> | |

NOTES

1. If more than three of the 26 total selected code sections do not meet the stringency of the language criteria in the *Food Code*, then the jurisdiction does not meet the Standard 1 criteria for Good Retail Practices.