

Conference for Food Protection Voluntary Retail Food Program Standards Subcommittee 5 – Verification Audit Summary

550 Total Invitations
18.5% responded (102)
1.1% opted out (6) – no reason given
9.6% bounced (53)
70.7% not responded (389)

550 total-53 bounced=**497** good email addresses

102 Total Responses
83.3% completed (85)
16.7% partial (17)

102 total responses/**497** good email addresses=**20.52%** response

Q1. Jurisdiction Type – 102 answered, 0 skipped

- Local (City &/or County) 74.51% (76)
- State 17.65% (18)
- Tribal 2.94% (3)
- Territory 0.98% (1)
- Other 3.92% (4)
 - University 1
 - Federal 2
 - Idaho 1

Q2. Number of Inspected Food Service Facilities in Inventory – 102 answered, 0 skipped

- ≤250 30
- 251-500 18
- 501-750 5
- 751-1000 7

- 1001-5000 27
- 5001-7500 4
- 7501-10000 3
- ≥10001 8

Q3. Inspection Staff Size – 102 answered, 0 skipped

≤5	56	(55%)
6-10	18	(18%)
11-25	17	(16.7%)
26-50	3	(2.9%)
51-75	4	(3.9%)
76-100	2	(1.9%)
≥101	2	(1.9%)

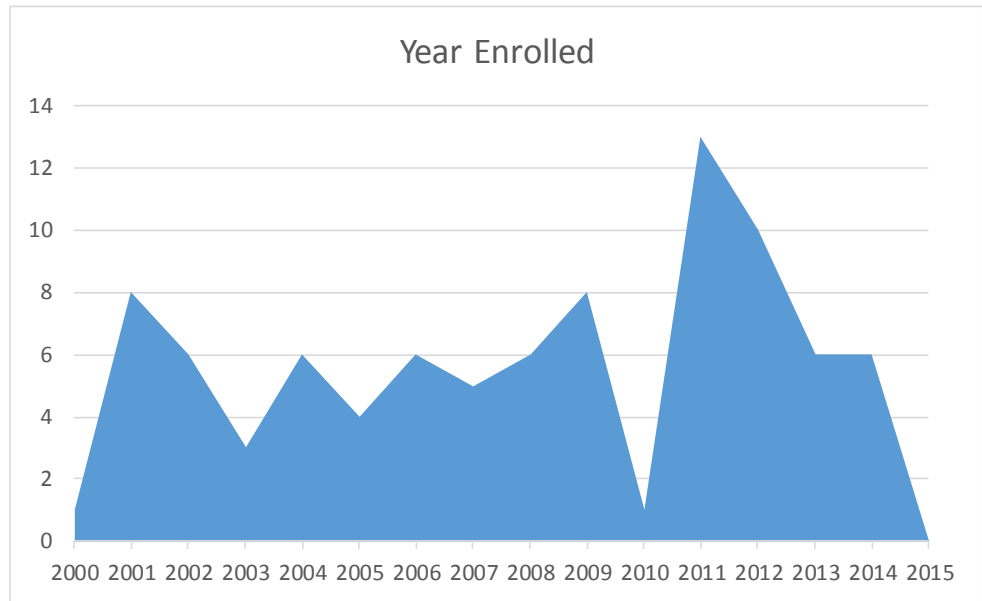
Q4. Population of Jurisdiction – 102 answered, 0 skipped

0 to 50,000	27	(26%)
50,001 to 100,000	13	(13%)
100,001 to 250,000	16	(16%)
250,001 to 500,000	11	(11%)
500,001 to 750,000	4	(4%)
750,001 to 999,999	3	(3%)
1M to 3M	13	(13%)
4M to 10M	7	(7%)
>10M	1	(1%)
Other	7	(67%)

- Retail food establishment such as restaurants, takeout, mobile units, catering, schools, correctional facilities, vending and senior citizen meals
- Resort casino
- Entire state of Nevada
- NA
- 27 tribes – don't know the actual population sizes
- Unknown
- Entire state – except local health jurisdictions

Q5. What year did you enroll in the Retail Program Standards? – 102 answered, 0 skipped

- Don't Know – 14 (13.73%)
- 2000 – 1
- 2001 – 8
- 2002 – 6
- 2003 – 3
- 2004 – 6
- 2005 – 4
- 2006 – 6
- 2007 – 5
- 2008 – 6
- 2009 – 8
- 2010 – 1
- 2011 – 13
- 2012 – 10
- 2013 – 6
- 2014 – 6
- 2015 – 0



Dates of Interest –

- 1999 – Pilot Test of Program Standards in each of the 5 FDA regions
- 2000 – Pilot Test results report to the Conference for Food Protection
- 2002 – 1st Version of the Program Standards, approved at the CF
- 2012 – 1st year of NACCHO Mentorship Program

Q6. Have you had a verification audit? – 102 answered, 0 skipped

Yes	54.90%	56
No	45.10%	46

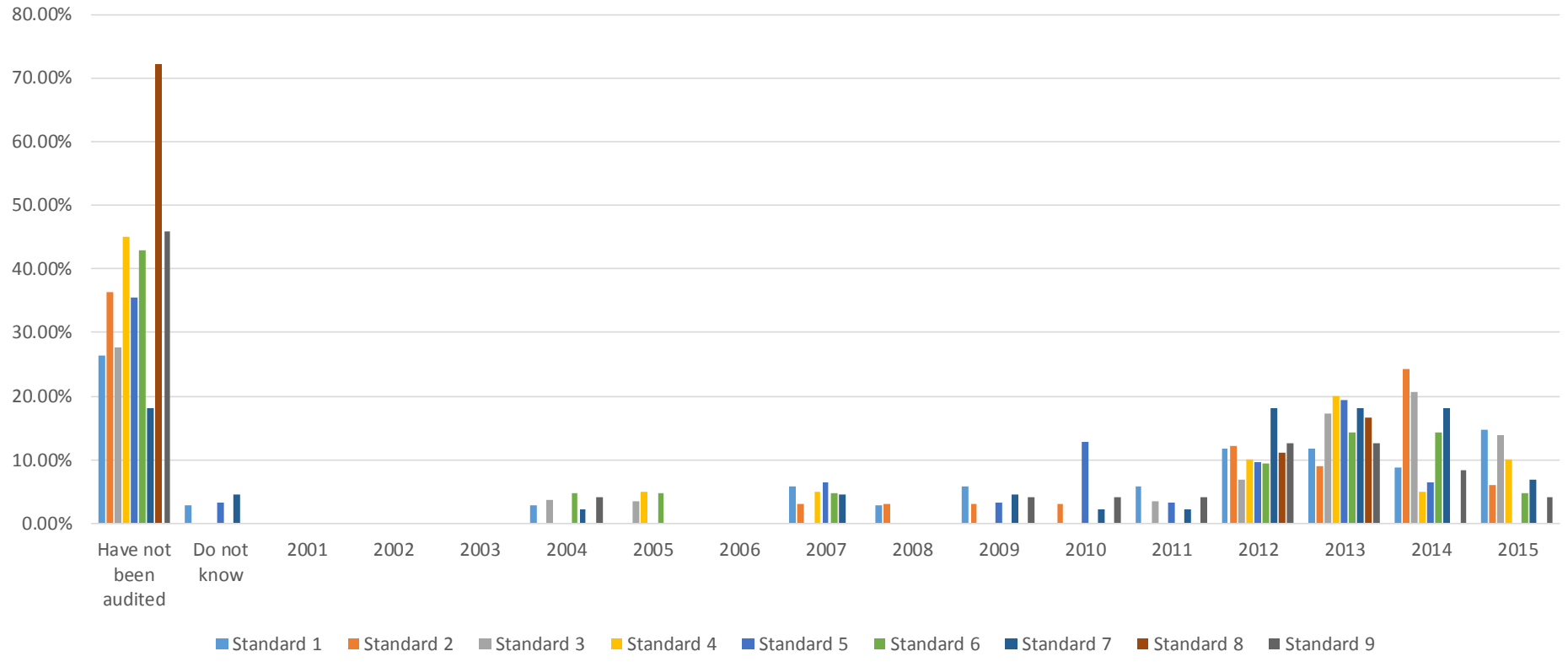
Q7. What Standards have you had audited? – 55 answered, 47 skipped

Standard 1	45.45%	25
Standard 2	36.36%	20
Standard 3	38.18%	21
Standard 4	20.00%	11
Standard 5	38.18%	21
Standard 6	21.82%	12
Standard 7	63.64%	35
Standard 8	9.09%	5
Standard 9	23.64%	13

Q8. When was/were the audit(s) conducted? – 59 answered, 43 skipped

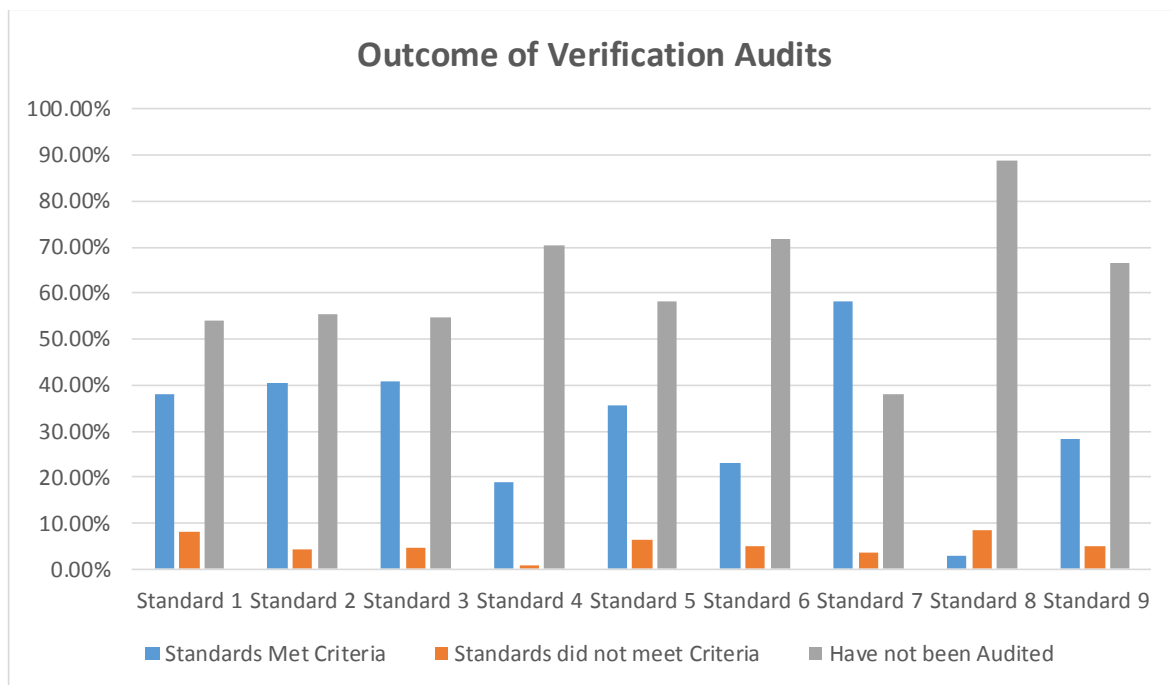
Year	Standard 1	Standard 2	Standard 3	Standard 4	Standard 5	Standard 6	Standard 7	Standard 8	Standard 9
Have not been audited	26.47%	36.36%	27.59%	45.00%	35.48%	42.86%	18.18%	72.22%	45.83%
Do not know	2.94%	0.00%	0.00%	0.00%	3.23%	0.00%	4.55%	0.00%	0.00%
2001	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
2002	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
2003	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
2004	2.94%	0.00%	3.60%	0.00%	0.00%	4.76%	2.27%	0.00%	4.17%
2005	0.00%	0.00%	3.45%	5.00%	0.00%	4.76%	0.00%	0.00%	0.00%
2006	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
2007	5.88%	3.03%	0.00%	5.00%	6.45%	4.76%	4.55%	0.00%	0.00%
2008	2.94%	3.03%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
2009	5.88%	3.03%	0.00%	0.00%	3.23%	0.00%	4.55%	0.00%	4.17%
2010	0.00%	3.03%	0.00%	0.00%	12.90%	0.00%	2.27%	0.00%	4.17%
2011	5.88%	0.00%	3.45%	0.00%	3.23%	0.00%	2.27%	0.00%	4.17%
2012	11.76%	12.12%	6.90%	10.00%	9.68%	9.52%	18.18%	11.11%	12.50%
2013	11.76%	9.09%	17.24%	20.00%	19.35%	14.29%	18.18%	16.67%	12.50%
2014	8.82%	24.24%	20.69%	5.00%	6.45%	14.29%	18.18%	0.00%	8.33%
2015	14.71%	6.06%	13.79%	10.00%	0.00%	4.76%	6.82%	0.00%	4.17%

When was/were the audit(s) conducted?



Q9. What was the outcome of the Standards on which you have had a verification audit?
 67 answered, 35 skipped

	Standards Met Criteria	Standards did not meet Criteria	Have not been Audited	Total
Standard 1	38.00% (19)	8.00% (4)	54.00% (27)	20
Standard 2	40.43% (19)	4.26% (2)	55.32% (26)	47
Standard 3	40.91% (18)	4.55% (2)	54.55% (24)	44
Standard 4	18.92% (7)	10.81% (4)	70.27% (26)	37
Standard 5	35.42% (17)	6.25% (3)	58.33% (28)	48
Standard 6	23.08% (9)	5.13% (2)	71.79% (28)	39
Standard 7	58.18% (32)	3.64% (2)	38.18% (21)	55
Standard 8	2.78% (1)	8.33% (3)	88.89% (32)	36
Standard 9	28.21% (11)	5.13% (2)	66.67% (26)	39



Q10. Have you conducted a verification audit for another agency?

92 answered, 10 skipped

Yes	29	31.52%
No	63	68.48%

Q11. What Standards have you conducted an audit for another agency?

28 answered, 74 skipped

	# audit for standard	percentage
Standard 1	7	25.00%
Standard 2	11	39.29%
Standard 3	7	25.00%
Standard 4	4	14.29%
Standard 5	8	28.57%
Standard 6	4	14.29%
Standard 7	17	60.71%
Standard 8	1	3.57%
Standard 8	3	10.71%

Q12. What was/were the outcome(s) to the audits conducted for another agency?

29 answered, 73 skipped

Agency met Standard Criteria	86.21%	25
Agency did not met Standard Criteria	13.79%	4
Audit cancelled due to incomplete information to conduct	6.90%	2

Q13. Why have you not conducted an audit for another agency?

74 answered, 28 skipped

Have not been asked	89.19%	66
Did not meet criteria to become an auditor	12.16%	9
Do not feel comfortable conducting an audit	24.32%	18

Q14. Would it be beneficial to have an available list of individuals that can conduct verification audits? – 91 answered, 11 skipped

Yes	79	85.71%
No	2	2.20%
Don't know	11	12.09%

Q15. Would you be willing to be included on that list? – 92 answered, 10 skipped

Yes	39	42.39%
No	29	31.52%
Don't know	24	26.09%

If respondent answered “no” or “don't know”, they were asked to explain:

- Would need county approval
- Too busy with work requirements
- Time constraints is the issue (these things can be very time consuming)
- I am not sure if I would be qualified to fill this role
- Available time
- I will be retiring by the end of June 2015
- Within New Mexico, we know who in each agency can do a verification audit. I think this informal information network works well and ensures that we don't become overloaded. I don't know if the list you are proposing would go out to other states. This might get overwhelming.
- Our staff are not qualified yet
- No time
- Still working on our agency to be in conformance
- No time, very understaffed
- Don't understand it all that well
- My current job role would not allow me to do this
- Not sure I'm qualified to conduct audits
- Not sure we will continue effort due to costs
- Don't have time
- Currently have insufficient staffing to add another duty
- No time
- Time and resource issues
- Time constraints as I am trying to complete standardization for grant funding
- Agency representative instead of named individual
- Not certain of qualifications
- Do not have time
- Would be open to being an auditor, but additional information about how to conduct an audit would be helpful since our agency has not completed an audit.
- Extremely busy and understaffed, may not be approved
- Plan to retire soon

- Since we have not had a verification audit, I do not feel qualified to audit other LHDs
- Training needed, otherwise yes
- Do not qualify to become an auditor
- We have not had a lot of progress made in the program and staffing is limited
- No time to audit other regulatory agencies
- Too busy
- No time
- Staffing limitations

Q16. Do the audit requirements clearly outline the specific objective needed to meet a Standard? – 90 answered, 12 skipped

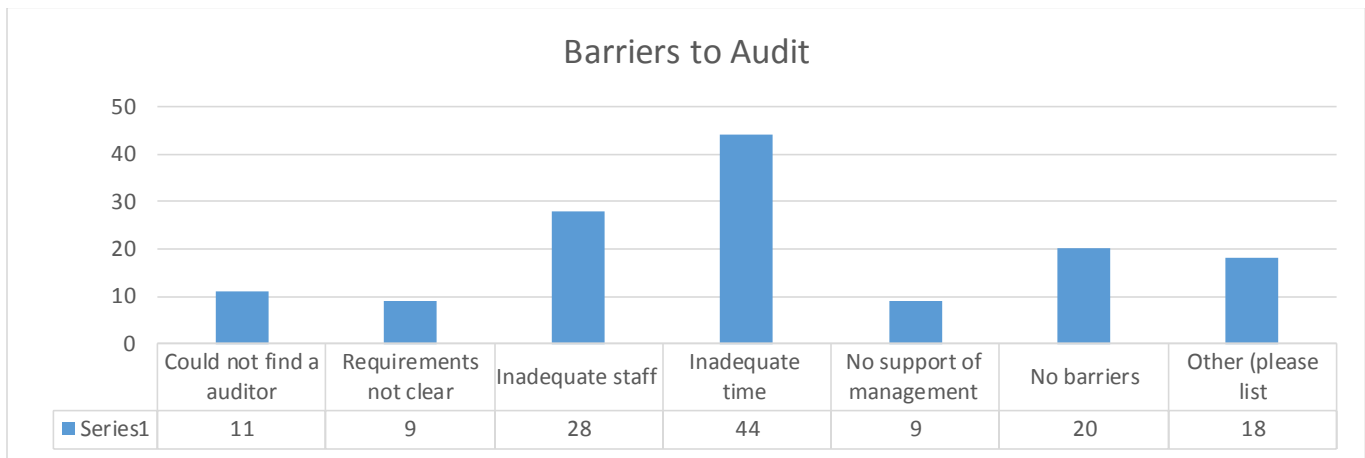
Yes	81	90.00%
No	9	10.00%

If respondent answered “no” they were asked to explain:

- Need to simplify
- No idea
- Forms and procedures need to be simplified
- The older version of the audit book was more thorough and had step by step instructions. The new versions of the book just gives an overall requirement. I prefer the older version
- Cumbersome
- There needs to be more examples of possible methods for meeting a standard. A FDA training for verification audits might be a god course to have better consistencies among those who do audits.
- Not clear
- No
- More is read into the requirements than is actually stated

Q17. What barriers have you had that have made you unable to conduct a verification audit on a Standard? – 84 answered, 18 skipped

Could not find an auditor to conduct verification audit	11	13.10%
Requirements to conduct/complete a self-assessment leading to a verification audit not clear	9	10.71%
Inadequate staff to conduct self-assessment that would lead to a verification audit	28	33.33%
Inadequate time to conduct self-assessment and/or verification audit	44	52.38%
No support of management to work on Program Standards	9	10.71%
No barriers	20	23.81%
Other (please list)	18	21.30%



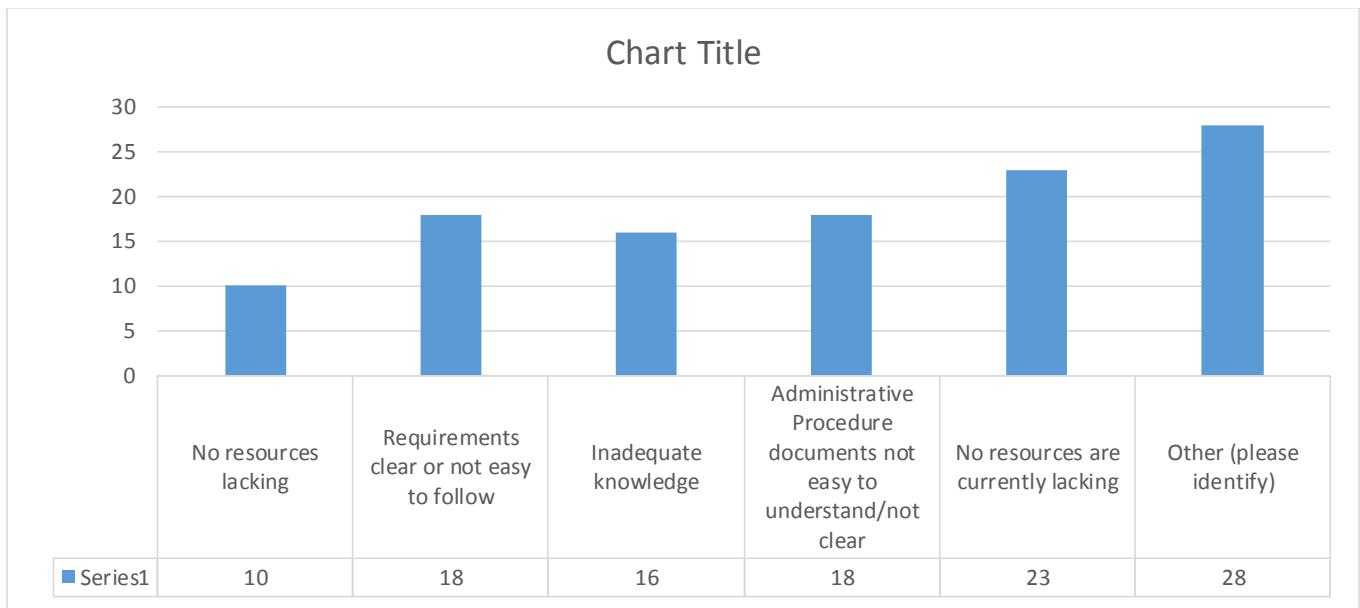
List of other responses provided:

- It was known that we did not meet the standards, so did not spend the time of the auditor
- IL, Dept. of Public Health – lack of support
- Self-assessment yields standard not met, so audit not needed
- Our self-assessment revealed that we don't meet the standards
- Availability of an agreed upon time that works for both agencies
- Lack of funding to support implementation of the retail standards
- Self-assessment done. Finding time for verification audit
- Unable to meet Standards 1, 3, 4, 6 due to inspection software
- First time jitters
- Not enough time to improve that self-assessments that did not meet the standards
- Program Standards is a very time intensive project
- We did the self-assessment, but not certain where to go for the audit
- Funding support
- No audit of the self-assessment was every conducted
- Dependence on state program
- Not clean
- Inadequate staff to conduct the work required to put processes/procedures in place to meet a standard
- Not trained to audit

Q18. What resources are lacking to be able to complete a verification audit?

84 answered, 18 skipped

No resources lacking	10	11.90%
Requirements identified to meet a specific Program Standard not clear or not easy to follow	18	21.43%
Inadequate knowledge to develop written internal policies needed to meet a Standard	16	19.05%
Administrative Procedure documents (now a separate document, previously included under Standard 9) not easy to understand/not clear	18	21.43%
No resources are currently lacking	23	27.38%
Other (please identify)	28	33.33%



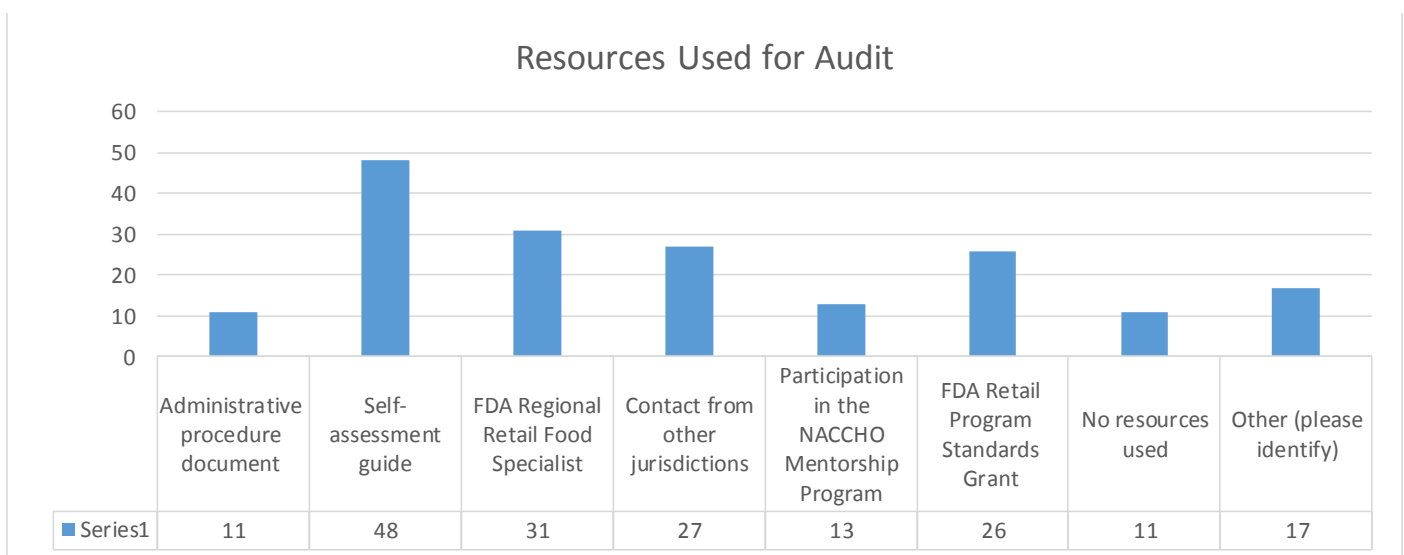
List of other responses provided:

- Time
- Time and other priorities
- Change of staff, training issues
- Available time
- Time and people
- Finding the time to do it
- Time and staff; recently have spent time on inspection disclosure
- We are early in the process yet and have been focusing on training regulatory staff and hoping for the state to adopt the 2013 food code
- Time and staff
- More staff resources would be beneficial in implementing and audition standards
- Program requirements often changed without notification to participants
- I think these responses aren't clear: "no resources lacking" and "no resources are currently lacking" -??? We are currently lacking resources
- Lack of funding to support implementation of the retain standards
- Staff time, don't know who would be willing to audit locally

- Not enough time
- Lack resource
- Lacked resources to purchase new inspection software
- Not a clear understanding of the proper procedures
- Human resources and time
- Understaffed now, inspections delinquent, Standardization of staff is the priority
- Training, staffing
- Financial resources (other than ADFO Money) which is appreciated!
- Staff and time
- Time FTE's
- Time in standards coordinator work plan to accommodate the necessary work on a standard
- Time
- Never had an audit or performed one
- Staff limitations

Q19. What resources did you use to ensure a successful verification audit?
76 answered, 26 skipped

Administrative procedure document (new in Program Standards version 2013, previously located in Standard 9)	11	14.47%
Self-assessment guide provided in the Program Standards	48	63.16%
FDA Regional Retail Food Specialist	31	40.79%
Contact from other jurisdictions that are enrolled in the Standards	27	35.53%
Participation in the NACCHO Mentorship Program	13	17.11%
FDA Retail Program Standards Grant made available through a Cooperative Agreement with AFDO	26	34.21%
No resources used	11	14.47%
Other (please identify)	17	22.37%



List of other responses provided:

- Indiana State Dept. of Health Standards Workshop
- N/A
- Clearinghouse responses
- FDA Retail Program Standards Grant before AFDO
- We have not conducted an audit yet. Scheduled to be completed by September 2015
- Did not complete a verification audit
- Have no performed
- NACCHO is important
- Auditors list might be helpful in the long run
- FDA Self-assessment and Verification Audit Workshop materials
- Previous audits completed by our State Food program Manager, who has retired. Thus year plan to have Mark from Iowa audit.
- No audit was performed
- NA
- Nave not completed a verification audit
- NA
- Never had an audit or performed one.
- Have applied for the mentorship program but have not been accepted

Q20. Would it be beneficial to your jurisdiction to be able to submit the Self-Assessment form, Verification Audit form, and any applicable documentation electronically to your auditor for review? – 86 answered, 16 skipped

Yes 85 98.84%
 No 1 1.16

If “no”, please explain:

- Not sure – some documents are on a shared folder and it may be more time consuming to re-save those in a format that can be sent electronically and the files may be too large to send via e-mail
- No idea
- We scan and submit form electronically.
- There is way too much supporting documentation to submit everything electronically. This may work for some Standards, but not all.

Q21. What would increase the credibility of the audit process? – 72 answered, 30 skipped

A more clearly defined quality assurance step	40	55.56%
Establish criteria to become an authorized auditor	37	51.39%
Other (please list)	14	19.44%

List of other responses provided:

- Attending the Auditor's Course
- I don't know
- I think the reviews done currently are credible because each agency has a conscientious auditor. I think having authorized auditory would just add another layer of time commitment that many people would not be able to do.
- Some coaching from another auditor to make sure all steps and documentation is presented
- Resources available to see what other have submitted to meet the standard, and that are available for your organization to use and adapt to your environment.
- Compelling reason to participate
- Do not make it more complicate
- Simplify forms and procedures
- Provide auditor training
- Mock audit
- Auditor training in regions – grant to pay for training of auditors, make standards required for additional funding
- FDA staff to conduct Audits like MFRPS
- Don't know because never done the audit process
- Get the bureaucratic language out

Q22. Are you aware that a Clearinghouse Workgroup exists that can help clarify questions related to the Program Standards? – 88 answered, 16 skipped

Yes	51	59.30%
No	35	40.70%

Q23. Do you have anything else you would like to share based on your experience?
30 answered, 72 skipped

The answers in the clearinghouse are still not clear – would like more training in order to more clearly understand the requirements of each standard
In our particular organization, we do more than food inspections. Our licensing fees support our inspection process. License fees have not stayed current with costs associated to do inspections. The State Government has decided one again not to raise license fees. They have been increased only twice in the last approximately 35 years. The last time in 2007 or 2008...did not even bring it up to current costs then.
No
Being in Hawaii we find it very difficult to locate Auditor's and although we are in the internet age, it would be better if we could communicate with another jurisdiction on how they met a Standard. A face to face meeting is ideal vs. communication with email. Also because of the long distance and expense it is very difficult to participate in the mentor-mentee program.

<p>I think the Program Standards are great and I'm glad our program enrolled. However, they are time consuming and it can be frustrating because you want to complete them but it seems there is never enough time. The FDA representative and clearinghouse have been very supportive.</p>
<p>A good idea, but frustration grows when Standards are not met and little time to improve. The focus is on making sure the inspections get done with the limited resources available. Staff is in the field with no staff assigned to any quality assurance and re-self-assessment.</p>
<p>The Regional FDA Specialist has been a great resource to us for pairing an auditor for our Standards.</p>
<p>We are a small health department and would not be able to work on conformance with the Standards if we didn't receive the grants from FDA, AFDO, and NACCHO.</p>
<p>We are very new to the standards and have not completed our first verification audit, so we were unable to answer several of the questions. Our audit is scheduled to be completed by September.</p>
<p>No</p>
<p>Our agency has been working towards the Retail Program Standards since enrollment in 2009. However, we are one of the few agencies active in the Retail Program Standards and as a result, have not been requested to complete an audit. We feel comfortable with the Standards, but would appreciate deeper understanding from an audit perspective. We are partnering/mentoring a recent enrolled agency and will most likely be requested to conduct an audit in the future.</p>
<p>No</p>
<p>Our health department get overwhelmed by the process and the amount of reading and instructions required. We are currently trying to break it up into smaller bits and assign standards to different inspectors to work on.</p>
<p>No</p>
<p>I am a one person department and have had challenges finding another agency nearby to assist. Many of the questions in the audit pertain to department with many staff members, and there are not options for small one-person departments.</p>
<p>No</p>
<p>If you want the VRFPS to be more accepted by locals, don't make it more complicated.</p>
<p>Again simplify the process and the forms.</p>
<p>I wish the annual FDA training traveling allowance is opened up for locals to attend. The only reason I cannot attend is I did not get the grant for travelling and our resources does not allow out of state travelling.</p>
<p>The audit of this jurisdiction has been delayed due to inadequate time and denied funding from FDA which was requested to complete the verification audit.</p>
<p>I would suggest that the standards be self-assessed and audited individually rather than all at once which is overwhelming to complete. Right or wrong that if how I have done this and that way each year we can work on one or two. We</p>

have completed the second round of self-assessment and audit verifications on several Standards.
Could not have made progress on the Program Standards without participation in the NACCHO mentorship program and FDA grant support.
The self-assessment was completed, but no audit verification was ever completed by FDA
n/a
The number of inspectors listed in not FTE's for food inspections. They also have other duties. The number of facilities does not include any temp food events. We are also in a high tourist area which has increased out temp events, inspectors and the number of facilities as compared to our population.
We have not dedicated time to the program. Staffing constraints limit program development.
I don't understand why we need to complete the Self-Assessment info on the FDA Registry Form – when only submitting because an audit was performed. I also didn't realize the self-assessment must be done within 30 days of the audit. Sometimes a self-assessment is done way in advance to determine gaps that need to be filled. Marking these boxes can also be confused with the every 5 year self-assessment.
Should run Retail Standard like the Manufactured Food Standards. Have FDA Staff conduct audits. Other state and local jurisdictions don't have the time or resources to devote to auditing another agencies programs. Additionally our agency is hesitant to show another state agencies "how we do things".
The standard are too cumbersome for Deschutes County. We really believe in the standards but the amt of time it takes make it impossible to do all my other field work, supervisor duties, admin work, budget, etc.
It would be nice to get some kind of training when you sign up as a participant.

Q24. If you would be willing to be contacted by the committee if they have any questions, please list your information below. – 48 answered, 54 skipped

Respondents were asked to provide the following information if they were willing to be contacted:

- Name
- Agency
- Role/Title
- Address
- City/Town
- State
- Zip
- E-mail address
- Phone number