

# Remote Retail Standards Audits



**TIPS FROM AN AUDITOR**

# Overview



**WHAT ARE VNRFRPS VERIFICATION AUDITS**

**WHEN IS AN AUDIT REQUIRED**

**WHO CAN CONDUCT VERIFICATION AUDITS**

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**WHY VOLUNTEER AS AN AUDITOR**

# What is a VNRFRRPS Verification Audit



**A SYSTEMATIC, INDEPENDENT EXAMINATION  
BY AN EXTERNAL PARTY TO CONFIRM THE  
ACCURACY OF THE SELF-ASSESSMENT**

Source – 2015 Voluntary National Retail Food Regulatory  
Program Standards Administrative Procedures

# When is a Verification Audit Required



- ❑ **A VERIFICATION AUDIT MUST BE REQUESTED WITHIN THREE MONTHS OF THE COMPLETION OF THE SELF-ASSESSMENT IN WHICH ONE OR MORE STANDARDS ARE CLAIMED AS MET**
- ❑ **A VERIFICATION AUDIT MUST BE COMPLETED WITHIN SIX MONTHS OF COMPLETION OF THE SELF-ASSESSMENT**

Source 2015 Voluntary National Retail Food Regulatory Program Standards  
Administrative Procedures

# Who Can Conduct Verification Audits



**A VERIFICATION AUDIT MAY BE CONDUCTED BY AN AUTHORIZED CITY, COUNTY, DISTRICT, STATE, FEDERAL, TRIBAL OR THIRD PARTY PERSON WHO HAS NO RESPONSIBILITIES FOR THE DAY-TO-DAY OPERATIONS OF THE JURISDICTION REQUESTING THE AUDIT**

Source 2015 Voluntary National Retail Food Regulatory Program Standards  
Administrative Procedures

**ALMOST ANYONE!**

# Where Can You Find an Auditor



- ❑ **CHECK WITH OTHER ENROLLED PROGRAMS (RECIPROCATION MAY BE SELLING POINT)**
- ❑ **LOCALS SHOULD CHECK WITH THEIR STATE PROGRAMS**
- ❑ **ASK YOUR FDA RETAIL SPECIALIST**
- ❑ **COMING SOON-THE LISTING OF ENROLLED JURISDICTIONS ON THE FDA WEBSITE WILL INDICATE WHETHER A JURISDICTION IS WILLING TO BE AN AUDITOR**

# Why Remote Audits



**BUDGETS**  
**TRAVEL RESTRICTIONS**  
**PRODUCTIVITY**

# How to Make Remotes Work



## Jurisdiction

- ❑ COMMUNICATE DEADLINES
- ❑ SUBMIT REQUESTED DOCUMENTATION PROMPTLY
- ❑ **PROVIDE THE AUDITOR WITH A CLEAR ROADMAP**
- ❑ RESPOND TO AUDITORS QUESTIONS AND REQUESTS PROMPTLY
- ❑ USE PROVIDED VNRFRPS WORKSHEETS

## Auditor

- ❑ BLOCK TIME FOR THE AUDIT
- ❑ DETERMINE HOW DOCUMENTS ARE TO BE SUBMITTED
- ❑ COMMUNICATE EXACTLY WHAT DOCUMENTS ARE NEEDED WHEN
- ❑ COMMUNICATE ADDITIONAL NEEDS CLEARLY



# Self-Assessment and Verification Audits 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 2 Self-Assessment was Completed:			
Self-Assessment indicates that the Jurisdiction MEETS the Standard 2 criteria: YES <input type="checkbox"/> NO <input type="checkbox"/>			
<i>I affirm that the information represented in the Self-Assessment of Standard 2 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 2 was Completed:			
Verification Audit indicates that the Jurisdiction MEETS the Standard 2 criteria: YES <input type="checkbox"/> NO <input type="checkbox"/>			
<i>I affirm that the information represented in the Verification Audit of Standard 2 is true and correct</i>			
Signature of the Verification Auditor:			

# Provide a Road Map for the Auditor



Voluntary National Retail Food Regulatory Program Standards – January 2011

**Standard 5: Foodborne Illness and Food Defense Preparedness and Response**  
**Program Self Assessment and Verification Audit Form**  
 (January 2011)

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. Investigation Procedures (continued) –The Cerro Gordo County Department of Public Health's Outbreak Investigation Manual (OIM) and the All Hazards Response Plan Annex C – Epidemiology and Surveillance.</b>						
c. The program maintains a written operating procedure or a Memorandum of Understanding (MOU) with the appropriate epidemiological investigation program/department to conduct foodborne illness investigations and to report findings. The operating procedure or MOU clearly identifies the roles, duties, and responsibilities of each party.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Outbreak Investigation Manual (OIM) – Ch 1 Lists roles and responsibilities. OIM – Fig 1-2 describes duties and responsibilities for program staff. OIM – Fig 1-3 identifies external partner roles and responsibilities. NOTE: The Center for Acute Disease and Epi (CADE) of the IA. Dept. of Public Health serves in a supporting role for FBO's.	<input type="checkbox"/>	<input type="checkbox"/>	
d. The program maintains logs or databases for all complaint or referral reports from other sources alleging food-related illness, food-related injury or intentional food contamination. The final disposition for each complaint is recorded in the log or database and is filed in, or linked to, the establishment record for retrieval purposes.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	OIM – Appendix D: FBO investigation questionnaire form is completed for all calls about food-borne illness. If the complaint involves an establishment, a paper copy is maintained and electronic copy attached to the DIA database record. Copies of documentation are provided to CADE and DIA.	<input type="checkbox"/>	<input type="checkbox"/>	



# Self-Assessors General Comments

Source document title

Page number

Reference section

Especially important  
with written  
policy/procedure driven  
Standards 3, 4, 5

Jurisdiction's Self-Assessment		
YES	NO	Self-Assessor's General Comments
<input checked="" type="checkbox"/>	<input type="checkbox"/>	Outbreak Investigation Manual (OIM) – Ch.1 Lists roles and responsibilities. OIM – Fig. 1-2 describes duties and responsibilities for program staff. OIM – Fig 1-3 identifies external partner roles and responsibilities. NOTE: The Center for Acute Disease and Epi (CADE) of the IA. Dept. of Public Health serves in a supporting role for FBO's.
<input checked="" type="checkbox"/>	<input type="checkbox"/>	OIM – Appendix D: FBO investigation questionnaire form is completed for all calls about food-borne illness. If the complaint involves an establishment, a paper copy is maintained and electronic copy attached to the DIA database record. Copies of documentation are provided to CADE and DIA.

# Standard 1



## Jurisdiction

- Self-Assessment and Verification Audit Form
- Completed worksheets
- Identify the Code version used
- Copies of all regulations needed for a side by side comparison (web links)

## Auditor

- Inventory submitted documentation
- Verify full completion of forms and worksheets
- Complete audit

# Standard 2



## Jurisdiction

- Self-Assessment and Verification Audit Form
- Completed worksheet
- Submit individual training records when requested
- Web meeting may be an option to review selected training records

## Auditor

- Inventory submitted documentation
- Verify full completion of form and worksheet
- Make random selection (if required)
- Request selected training records
- Complete audit

# Standard 3



## Jurisdiction

- Self-Assessment and Verification Audit Form
- Copies of all policies and procedures

## Auditor

- Inventory submitted documentation
- Review SA VA form to ensure document references are in the comments section
- Verify completion of form
- Complete audit

# Standard 4



## Jurisdiction

- Self-Assessment and Verification Audit Form
- Copy of written QA program
- List of inspection personnel and start dates
- Completed worksheet
- Source documentation demonstrating review and monitoring of quality elements

## Auditor

- Inventory submitted documentation
- Review SA VA form to ensure document references are in the comments section
- Verify completion of form and worksheet
- Complete audit

# Standard 5



## Jurisdiction

- Self-Assessment and Verification Audit Form
- Policies, procedures, MOU's and regulations
- Annual data analysis
- Outbreak or mock investigation documentation

## Auditor

- Inventory submitted documentation
- Review SA VA form to ensure document references are in the comments section
- Complete audit



# Standard 6



## Jurisdiction

- Self-Assessment and Verification Audit Form
- Written step by step procedure
- Copy of inspection form
- Risk Factor Key
- Self-Assessment Summary Worksheet
- Establishment File Worksheets and compliance documentation for requested establishment files

## Auditor

- Inventory submitted documentation
- Verify completion of form and worksheet
- Make random selection
- Request selected establishment file worksheets & compliance documentation
- Complete audit

# Standard 7



## Jurisdiction

- Self-Assessment and Verification Audit Form
- Completed worksheets
- Supporting documentation

## Auditor

- Inventory submitted documentation
- Verify completion of worksheets and form
- Complete audit

# Standard 8



## Jurisdiction

- Self-Assessment and Verification Audit Form
- Staffing level calculations
- Equipment lists
- Written assessment of Administrative Program Support
- Completed Program Support and Resources Worksheet

## Auditor

- Inventory submitted documentation
- Verify completion of form and worksheets
- Complete audit

# Standard 9



## Jurisdiction

- Self-Assessment and Verification Audit Form
- Risk Factor Study
- Written data analysis
- Documentation of implemented targeted intervention strategies

## Auditor

- Inventory submitted documentation
- Verify completion of form
- Conduct audit



Increased understanding  
of the program  
standards

Conduct better self-  
assessments

Smoother audits of your  
jurisdiction's self-  
assessment

Exposure to what other  
jurisdictions are doing

Identify gaps in the  
standards



**WHY SHOULD A JURISDICTION  
VOLUNTEER AS AN AUDITOR**

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