



# AFDO-Managed Retail Program Standards

# Grant Program

[www.afdo.org/retailstandards](http://www.afdo.org/retailstandards)

## GRANT GUIDANCE

## CALENDAR YEAR 2018

APPLICATION PERIOD: SEPTEMBER 4 – OCTOBER 2, 2017

*Advancing conformance with the FDA's Voluntary National Retail Food Regulatory Program Standards.*

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## Grant Program Overview

The Association of Food and Drug Officials (AFDO), with funding provided by the Food and Drug Administration, Office of Regulatory Affairs, Office of Partnerships (FDA, ORA, OP), is pleased to announce the availability of funds for completion of projects and training to enhance conformance with the Voluntary National Retail Food Regulatory Program Standards (Retail Program Standards). Knowing that resources are limited for all food protection partners, AFDO and FDA have worked diligently to design application, funding, and reporting systems that are streamlined and simple. Applicants to this program can expect a simple application process with streamlined reporting requirements.

### CONTACT INFORMATION

For more information or technical support, please contact the AFDO-Managed Retail Program Standards Grants Management Team at 850-583-4593 or [retailstandards@afdo.org](mailto:retailstandards@afdo.org).

### AFDO-MANAGED RETAIL PROGRAM STANDARDS FUNDING PROGRAM GOALS

The following are the goals for Retail Program Standards funding:

1. Supporting innovative strategies to reduce the occurrence of foodborne illness risk factors,
2. Promoting uniformity and a national Integrated Food Safety System (IFSS), and
3. Sharing successful strategies among jurisdictions at all levels.

### ELIGIBILITY

Funding is available to retail food safety organizations or agencies currently enrolled in the Voluntary National Retail Food Regulatory Program Standards (VNRFRPS). For more information, or to enroll in the VNRFRPS, please visit <http://afdo.org/retailstandards/enroll>. Enrollment can generally be accomplished within one to three days.

Please note that enrollment in the VNRFRPS is different and separate from enrolling for an account or applying for the *AFDO-Managed Retail Program Standards Grant Program*. The information hereafter applies to the AFDO-Managed Retail Program Standards Grant Program.

### MAXIMUM NUMBER OF GRANT APPLICATIONS PER ELIGIBLE JURISDICTION

For the Calendar Year 2018 grant cycle, jurisdictions may apply for funding for one (1) project from each Category 1, 2, 3, and 4. No more than four (4) total applications, and no more than one (1) application per Category, may be submitted by a single jurisdiction for the Calendar Year 2018 grant cycle (Application Period September 4, 2017 – October 2, 2017).

Jurisdictions that previously applied for and/or were awarded funding in previous years of the AFDO-Managed Retail Program Standards Grant Program are eligible to apply to all four grant categories.

### SUBMISSION DEADLINE

All applications must be made through the online portal, <https://retailstandards.fluxx.io>, which will open at 6:00 AM Eastern Time the morning of Monday, September 4, 2017. All applications must be completed and successfully submitted through the portal by Monday, October 2, 2017 at 7:59 PM Eastern Time.

### AMOUNT OF FUNDING AVAILABLE

More than \$1.4 Million in funding is available for the 2018 AFDO-Managed Retail Program Standards Grant Program.

## Funding Categories & Approximate Number of Grants per Category

Funds can be used to assist retail food regulatory programs in completing projects that meet the goals and objectives of the Retail Program Standards in four categories:

### CATEGORY 1 – SMALL PROJECTS

Small Projects (up to \$3,000 per award) – The goal for this category is to provide funding for jurisdictions to complete: a Self-Assessment of all nine Standards, small projects related to meeting one or more Standards, Verification Audit(s) confirming the results of the jurisdiction’s Self-Assessment (indicating that it meets one or more of the Standards), or Custom projects that increase a jurisdiction’s conformance with the Standards.

### CATEGORY 2 – MODERATE PROJECTS

Moderate Projects (\$10,000 to \$20,000 per award) – Projects in this category should aim for completion of more ambitious projects that help further conformance with the Retail Program Standards (computer software systems, risk factor studies, development of a written compliance program, training events, etc.). Applicants for this category must have conducted a Self-Assessment within the last five years (i.e. January 1, 2013 or later).

### CATEGORY 3 – TRAINING PROJECTS

Training (up to \$3,000 per award) – The goal of this category is to provide funding for jurisdictions to send staff to training to meet the requirements of Standard 2 (Step 1 & 3 Curriculum or CEU maintenance) or to attend FDA Regional Seminars to maintain FDA Standardization.

### CATEGORY 4 – FOOD PROTECTION TASK FORCE SUPPORT PROJECTS

Task Force Support (up to \$3,000 per award) – The goal of this category is to advance conformance with the Retail Program Standards by supporting standing Food Protection Task Force activities (or similar Food Advisory Board/Council activities, whether Task Force/Board/Council is supported by an FDA grant or not). Allowed activities under this category include planning costs and/or travel funds for meetings, sponsored trainings, workshops, tabletop exercises and mentorship activities. Successful applications will clearly explain how the proposed project helps the jurisdiction meet the requirements of Standard 5 Foodborne Illness and Food Defense Preparedness and Response and/or Standard 7 Industry and Community Relations.

## Project Ideas

The AFDO-Managed Retail Program Standards Grant Program has funded numerous projects. Specific examples by project Category are identified below:

### CATEGORY 1 SMALL PROJECTS – EXAMPLES

Include, but are not limited to:

- Completion of a Self-Assessment of all nine Standards,
- Completion of a Verification Audit or audits confirming the results of the jurisdiction's Self-Assessment (which indicates that the jurisdiction meets one or more of the Standards),
- Completion of lower-cost projects related to achieving a specific Standard's criterion such as developing a written quality assurance program (Standard 4) or a written compliance and enforcement program (Standard 6), or
- Custom projects that increase a jurisdiction's conformance with the Retail Program Standards.

### CATEGORY 2 MODERATE PROJECTS – EXAMPLES

Include, but are not limited to:

- Development and implementation of a computer software system that supports elements of the retail food inspection program,
- Completion of foodborne illness risk factor studies,
- Implementation of comprehensive intervention strategies for reducing foodborne illness risk factors identified as priority areas,
- Completion of all required activities to meet a Standard such as developing a written quality assurance program (Standard 4), or a written compliance and enforcement program (Standard 6), or
- Training events involving multiple staff members that increase a jurisdiction's conformance with the Standards.

### CATEGORY 3 TRAINING PROJECTS – EXAMPLES

Include, but are not limited to:

- Travel to training courses, workshops, and/or seminars that advance the goals of the Retail Program Standards,
- Travel-related expenses to attend Program Standards Self-Assessment and Verification Audit workshops,
- Training courses required in the Standard 2 curriculum (Step 1 & 3 Curriculum or CEU maintenance),

- Workshops on establishing a Field Training Plan,
- Training courses related to developing and implementing a foodborne illness risk factor study,
- FDA Regional Seminars to maintain FDA Standardization, or
- Workshops on risk-based inspection methodology.

*Note: Category 3 funds cannot be used to pay staff salaries and fringe benefits, nor can they be used to pay for staff time (via overtime or otherwise) to attend training.*

### CATEGORY 4 FOOD PROTECTION TASK FORCE SUPPORT PROJECTS – EXAMPLES

Include, but are not limited to attendance at Food Protection Task Force events such as:

- Meetings,
- Sponsored Trainings,
- Workshops,
- Tabletop Exercises, or
- Mentorship activities.

*Note: Category 4 funds may not be used to pay staff salaries and fringe benefits, nor can they be used to pay for staff time (via overtime or otherwise) to attend meetings, trainings, workshops, exercises, or other events.*

Other projects that advance your jurisdiction's conformance to the Retail Program Standards, in any of the four Categories, may also be eligible for funding through this grant program.

### ADDITIONAL PROJECT IDEAS

For additional project ideas, visit our Project Ideas page at <http://afdo.org/retailstandards/ideas> to view project titles that have been previously awarded using AFDO-Managed Retail Program Standards Grant Program funds.



## Program Rules, Terms, & Conditions

### ALLOWABLE COSTS

Allowable costs include training, travel, registration fees, speaker fees, contractual fees, audiovisual materials, purchase/rental/maintenance/shipping of supplies and equipment, and purchase and/or development of information technology equipment/software/support.

For courses leading to a professional certification, materials, registration fees, and online course fees may be paid with grant funds (but please note that there are some exclusions for costs associated with this type of course, listed in the Non-Allowable Costs section below).

For Category 1 Small Projects, Custom Projects subcategory and for Category 2 Moderate Projects only, the portion of employee salaries and fringe benefits dedicated to a project may be paid with grant funds.

Indirect costs are permissible for all grant categories based on a signed and current federal cost rate agreement, or at the de minimis rate of 10%. (The Office of Management and Budget provides additional guidance on the de minimis rate at: [https://www.ecfr.gov/cgi-bin/text-idx?SID=5a32387e087a2cd0368f361f5afb9ec6&mc=true&node=se2.1.200\\_1414&rgn=div8](https://www.ecfr.gov/cgi-bin/text-idx?SID=5a32387e087a2cd0368f361f5afb9ec6&mc=true&node=se2.1.200_1414&rgn=div8).) Indirect costs should be submitted within the budget section of the grant application, except for Category 1 fixed-reimbursement grants where no additional amount may be claimed above the amount authorized for each subcategory.

### NON-ALLOWABLE COSTS

Non-allowable expenses include costs associated with the procurement of vehicles, construction, and/or remodeling of physical structures. Expenses for food, snacks, meals, and catering (other than per diem for travelers) are not permitted for any grant.

For training components within any grant type (Category 1, 2, 3 or 4), and for all Category 3 Training Projects and Category 4 Food Protection Task Force Support Projects, personnel costs associated with such training are not permitted. This includes employee salaries, fringe benefits, overtime, travel time, and time spent taking online courses.

For courses leading to a professional certification, exam, test, credentialing and/or certification fees may not be paid with grant funds. For example, the fees to become a Certified Professional - Food Safety (CP-FS) are not allowed. However, as stated in the Allowable Costs section above, materials, registration fees, and online course fees for this type of course may be paid with grant funds.

Membership fees for local, regional, or national organizations, even if such membership fees reduce the cost of training and/or conference fees, may not be paid with grant funds.

Any expenses reimbursed under other cooperative agreements, grants, contracts, and/or other funding mechanisms must remain distinct and separate from any award of the AFDO-Managed Retail Program Standards Grant Program.

### FIXED-REIMBURSEMENT GRANTS

Fixed-reimbursement grants are associated with most Category 1 Small Projects. If awarded, upon completion of the project and approval of the Final Report, a specific dollar amount (identified below) will be reimbursed to the grantee's agency or organization. For these specific grant types only, applicants do not need to submit a budget or budget justification, as individual expenses are not reported. Reimbursement will be made on a fixed-reimbursement basis upon submission of a completed final report, as follows:

- Completion of a Self-Assessment of all nine Standards (Fixed Payment of \$2,500)
- Completion of an Updated Self-Assessment of all nine Standards (Fixed Payment of \$2,500)
- Completion of a Verification Audit for One Standard (Fixed Payment of \$2,000)
- Completion of Verification Audits for Two or More Standards (Fixed Payment of \$3,000)

### PROGRAM RULES AND REQUIREMENTS

The following rules and requirements apply to the program:

1. Funding is available for State, local, tribal, and territorial retail food regulatory programs, and can be used for activities that allow the programs to complete a Self-Assessment of all Nine Standards (the first step required after enrollment in the Retail Program Standards) or to achieve progress toward VNRFRPS milestones and/or Standards.
2. Jurisdictions must be enrolled in the VNRFRPS to apply. To enroll in the VNRFRPS, visit <http://afdo.org/retailstandards/enroll>. Enrollment can generally be accomplished within one to three days, but must be completed and verified by the FDA by October 2, 2017 to qualify for the 2018 grant year funding.
3. Applicants for Category 1 Small Project grants must have completed a Self-Assessment of all nine Standards within the previous five years, since January 1, 2013 or later (other than applications that are requesting a fixed-reimbursement grant for the "Completion of a Self-Assessment of all Nine Standards" or "Completion of an Updated Self-Assessment of All Nine Standards").
4. Applications for Category 1 Self-Assessment projects ("Completion of a Self-Assessment of All Nine Standards" or "Completion of an Updated Self-Assessment of All Nine Standards") are only eligible if the jurisdiction has not conducted a Self-Assessment of all nine Standards within the previous five years (i.e. January 1, 2013 or later).

5. AFDO-Managed Retail Program Standards Grant Program recipients are only eligible to receive funding for the “Completion of a Self-Assessment of All Nine Standards” and/or “Completion of an Updated Self-Assessment of All Nine Standards” subcategories once every five years.
6. Applicants for Category 1 Verification Audit projects must have conducted a Self-Assessment of all nine Program Standards within the previous five years (i.e. January 1, 2013 or later).
7. Applicants for Category 2 Moderate Projects grants must have conducted a Self-Assessment of all nine Program Standards within the previous five years (i.e. January 1, 2013 or later).
8. For travel requested in any grant Category (1, 2, 3, or 4), travel costs should adhere to the following general guidelines (contact the AFDO-Managed Retail Program Standards Grants Management Team with specific travel-related questions not covered below):
  - a. Receipts are required for all travel expenses except meals, which will be reimbursed on a federal per diem basis. The General Services Agency (GSA) Meals and Incidental Expenses (M&IE) breakdown may be accessed at <http://www.gsa.gov/portal/content/101518>.
  - b. Hotels will be reimbursed at actual room cost plus any applicable tax during dates of travel, and should be booked at the most economical rate practical. Incidental lodging expenses (internet, etc.) beyond room, parking and tax will not be reimbursed.
  - c. The prevailing federal per diem rate for the destination will be allowed for meals and incidentals. On travel days (first and last days), in most cases 75% of the federal per diem rate will be reimbursed. AFDO reserves the right to disallow per diem for meals which are provided at no cost to the participant as part of the program.
  - d. Air travel is to be taken by the most economical fare available. Advance purchase is required. First or business class, “economy plus”-type, or any other upgraded air travel is not authorized. Baggage fees may be reimbursed with a receipt.
  - e. Reimbursement for use of a private automobile shall be at the prevailing federal rate, reimbursed for mapped mileage to and from the venue, and shall not exceed the cost of advance purchase air travel to the destination.
9. Grant funds may not be used to fund attendance at the Conference for Food Protection (CFP).
10. Jurisdictions may apply for funding for one (1) project in each of the four (4) project categories, for a maximum of four (4) applications per jurisdiction for the Calendar Year 2018 funding cycle (Application Period of September 4 – October 2, 2017). If more than four (4) applications are submitted by a single jurisdiction, or if more than one (1) application is submitted for a single project Category, only the first application in each of the project categories will be evaluated.

11. Jurisdictions that applied for funding and/or were awarded funding during the previous AFDO-Managed Retail Program Standards Grant Program funding years (beginning in February 2014) are eligible to apply for up to four (4) grants (one project in each of the four categories) during this Calendar Year 2018 grant cycle (Application Period of September 4 – October 2, 2017).
12. Jurisdictions should coordinate internally to ensure they do not exceed the maximum number of applications of four (4) per grant cycle. Applications from a single jurisdiction may be made by a single Point of Contact (POC), or multiple POCs.
13. Jurisdictions applying for Category 3 funding may not include additional individual training as part of a Category 1 or Category 2 application.
14. For reasons of security and functionality, jurisdictions are required to complete all grant applications online using a modern, up-to-date browser. Users may access links to download these browsers from <http://afdo.org/retailstandards/browsers>.
15. When completing the online application, any character count restrictions include spaces.
16. All applications must be made through the online portal, <https://retailstandards.fluxx.io>, by October 2, 2017 at 7:59 PM Eastern Time. All required fields in each application (including POC, organization, and proposal information) must be clear and complete.

### TERMS AND CONDITIONS

By applying, your agency has made an assurance that it will comply with all applicable Federal statutes and regulations in effect during the grant period, including applicable parts of 45 CFR Parts 74 and 92. Awards will be based upon the submitted and approved project applications, and are subject to the following conditions:

- The grantee must complete the full scope of work and all tasks outlined in the approved grant application by the Project End Date entered on the grant application, unless a written exception is granted by the AFDO Programmatic POC for the grant award (this person will be named in the grant award letter).
- Any changes to the scope, tasks, deliverables, or expenses of this project must be approved in advance and in writing by the AFDO Programmatic Point of Contact prior to work being modified or completed.
- A Final Project Report must be submitted through the online grants portal no more than 45 days after the Project End Date. As part of the Final Report, the grantee must provide a full accounting of all expenditures made with funds from this grant award (except for fixed-reimbursement projects), accompanied by the documentation specified in the *Reporting Requirements* section of this document.

## Proposal Scoring

1. Applicants will receive an automated email notification upon the successful submittal of their application.
2. Applications received by the deadline will undergo an administrative review.
  - a. Applications that pass the review will move to the proposal-scoring phase.
  - b. Applications which are out of compliance with the Program Rules and Requirements will not move forward.
  - c. For applications requiring minor administrative clarification, applicants will be notified and given the opportunity to provide clarifying information within five (5) business days after the notification.
3. Eligible applications will be scored by up to three (3) reviewers, and the top-scoring eligible proposals will be funded.
4. **Proposals for Category 1 Fixed-Reimbursement Grant Projects** (Completion of a Self-Assessment of All Nine Standards, Completion of an Updated Self-Assessment of all Nine Standards, Completion of Verification Audit for One Standard, and Completion of Verification Audit for Two or More Standards) will be reviewed and scored based on eligibility. Eligible projects will receive a maximum of forty (40) points. As per the *Program Rules and Requirements*:
  - a. Applications for Category 1 Self-Assessment projects (“Completion of a Self-Assessment of All Nine Standards” or “Completion of an Updated Self-Assessment of All Nine Standards”) are only eligible if the jurisdiction has not conducted a Self-Assessment of all nine Standards within the previous five years (i.e. January 1, 2013 or later).
  - b. AFDO-Managed Retail Program Standards Grant Program recipients are only eligible to receive funding for the “Completion of a Self-Assessment of All Nine Standards” and/or “Completion of an Updated Self-Assessment of All Nine Standards” subcategories once every five years.
  - c. Applicants for Category 1 Verification Audit projects must have conducted a Self-Assessment of all nine Program Standards within the previous five years (i.e. January 1, 2013 or later).
5. **Proposals for Categories 2, 3, 4, and Category 1 Custom Projects** will be scored with each question receiving a maximum of five (5) points, and the project being scored with a maximum of forty (40) points, based on the following scale:
  - a. **Five (5)** representing answers that show the project (or training) will clearly advance the goals of the Retail Program Standards, are well organized, and contain all of the requested information.
  - b. **Four (4)** representing answers that show the project (or training) will clearly advance the goals of the Retail Program Standards, but some information is unclear or missing.

- c. **Three (3)** representing answers that show the project (or training) will clearly advance the goals of the Retail Program Standards, but a significant amount of information is unclear and/or missing.
  - d. **Two (2)** representing answers that show the project (or training) partially advances the goals of the Retail Program Standards, but some aspects of the project are not in alignment with the goals of the program.
  - e. **One (1)** representing answers that show the project (or training) is not in alignment with the goals of the Retail Program Standards.
6. Proposals will be scored per the following criteria:
- a. **Category 1 Custom Projects and Category 2 Moderate Projects**
    - i. Are the project's plan, objectives, and Standards and Elements selected aligned with the goals of the Retail Program Standards, and are they realistically achievable within the funding period?
    - ii. Does the project plan include a timeline that clearly identifies the specific activities to be completed as part of the overall project, expected completion dates for each activity, responsible personnel, and resources needed?
    - iii. Do the identified project personnel have clearly defined project roles?
    - iv. Do the project personnel have the expertise necessary to enable successful completion of the proposed project?
    - v. Are the project outcomes clearly identified and likely to achieve greater conformance with the Retail Program Standards?
    - vi. Are the project outcomes measurable and achievable?
    - vii. Are the identified resources realistic and necessary for successful completion of the project, and are costs reasonable and appropriate?
    - viii. Looking at all fields from the application, how likely is this project to succeed and advance the goals of the Retail Program Standards?
  - b. **Category 3: Training Projects**
    - i. Based on the information presented in the Project Information section of this application, do you think this training will enhance the jurisdiction's conformance with the Retail Program Standards?
    - ii. Is the training required for the jurisdiction to maintain FDA Standardization? (Yes/No)  
*NOTE: If the answer is "Yes," reviewers will assign a score of 5. If the answer is "No," a score of 1 is assigned.*
    - iii. Are the details provided for the proposed training clear and complete?
    - iv. Are the training objectives aligned with the goals of the Retail Program Standards, and are they realistically achievable within the funding period?
    - v. Are the listed personnel appropriate choices to attend the training?

- vi. As a result of this training, how likely are the identified personnel to advance conformance of the Retail Program Standards?
  - vii. Are the identified resources realistic and necessary for successful completion of the project, and are costs reasonable and appropriate?
  - viii. Looking at all fields from the application, how likely is this training project to succeed and advance the goals of the Retail Program Standards?
- c. Category 4: Food Protection Task Force Support Projects
- i. Are the meeting topics for this Food Protection Task Force event aligned with the goals of the Retail Program Standards?
  - ii. Are the details of the proposed Food Protection Task Force meeting or event clear and complete?
  - iii. Are the listed personnel appropriate choices to attend the Food Protection Task Force meeting or event?
  - iv. As a result of attendance at this Food Protection Task Force meeting or event, how likely are the identified personnel to advance conformance of the Retail Program Standards?
  - v. Are the project outcomes clearly identified and likely to achieve greater conformance with Retail Program Standards?
  - vi. Are the project outcomes measurable and achievable?
  - vii. Are the identified resources realistic and necessary for successful completion of the project, and are costs reasonable and appropriate?
  - viii. Looking at all fields from the application, how likely is this project to succeed and advance the goals of the Retail Program Standards?

## Reporting Requirements

As with applications, an online process is used for project reporting in order to keep the reporting burden low. Grantees must submit their reports through the online grants management portal at <https://retailstandards.fluxx.io>. Funds are generally awarded on a reimbursement basis after a Final Report is submitted and approved, but exceptions may be made based on the nature and duration of the project or the needs of the jurisdiction (determined on a case-by-case basis). Please visit <http://afdo.org/retailstandards> for complete Reporting and Reimbursement Instructions.

### INTERIM REPORT REPORTING REQUIREMENTS (FOR CATEGORY 2 MODERATE PROJECTS ONLY)

An Interim Report (for Category 2 Moderate Projects only) is due no later than June 30, 2018. Interim Reports must include the following information:

1. A brief description of the status of your project. (Maximum of 1,500 characters)
2. A list of any obstacles that could prevent you from achieving the project objectives or project outcomes listed in your application, with an action plan to overcome those obstacles. (Maximum of 1,500 characters)
3. An accounting of any expected changes from the project budget submitted with your application. All changes to the project budget must be submitted via email to [retailstandards@afdo.org](mailto:retailstandards@afdo.org). Note that changes to the original budget submitted with your application are not approved until you receive confirmation via email from the AFDO Retail Program Standards Grant Program POC. Changes that result in an overall increase above the total amount listed in your award letter are not permitted. (Maximum of 1,500 characters)
4. Any assistance you require to assure successful completion of your project, including achievement of all project objectives and project outcomes. If assistance is needed, describe the nature of the assistance and the person, group, or agency best equipped to offer such assistance. (Maximum of 1,500 characters)

### FINAL REPORT REPORTING REQUIREMENTS

A Final Report is required for all grant categories and should document completion of all project deliverables. The Final Report is due no later than 45 days after the end of the project period listed in your application.

If the final budget is not as originally projected, list all variances from the original budget and provide a brief explanation for each variance. All changes to the project budget must be submitted in advance of the actual expense via email to [retailstandards@afdo.org](mailto:retailstandards@afdo.org). Note that



changes to the original budget submitted with your application are not approved until you receive confirmation via email from the AFDO Retail Program Standards Grant Program POC.

## How to Apply for Funding

1. Carefully review the details of this Grant Guidance document.
2. Verify that you are enrolled in the Voluntary National Retail Program Standards by checking the following list: <http://www.fda.gov/downloads/Food/GuidanceRegulation/RetailFoodProtection/ProgramStandards/UCM434742.xlsx>. Your jurisdiction should be listed, including the date of your most recent Self-Assessment, if applying for a Category 1 grant (other than applications for Completion of a Self-Assessment of all Nine Standards) or a Category 2 grant (your Self-Assessment must have been completed on January 1, 2013, or later). If the FDA-posted list has any errors or omissions, please contact the FDA Regional Food Specialist assigned to your geographic area at: <http://afdo.org/retailstandards/fdaregionalcontacts>.
3. Gather the required information necessary to answer the questions listed in the *Step-by-Step Application Guidance* (below).
4. Confirm that your computer meets the minimum browser requirements to ensure security and functionality with the system. We recommend Google Chrome or any of the other current browsers listed at <http://afdo.org/retailstandards/browsers>.
5. Complete an online application using the grants management portal at <https://retailstandards.fluxx.io>. For each project for which your jurisdiction chooses to apply, up to a maximum of four (4) applications may be submitted, with not more than one (1) application in each of the four project categories.
6. Submit up to four (4) applications by the October 2, 2017 7:59 PM Eastern Time deadline, and wait for funding determination (approximately 6 weeks after the grant program deadline).

## Step-by-Step Application Guidance

This section contains best practices and a step-by-step guide for completing online applications through the AFDO-Managed Retail Program Standards Grant Portal.

### BEST PRACTICES

The following are a few best practices:

- If you have applied for or have been awarded a grant in previous cycles (since February 2014), please use your existing username and password, and proceed directly to *STEP 4 – APPLY FOR A GRANT* below. Your contact information, including email address, must have remained the same to proceed to Step 4. Please contact the AFDO-Managed Retail Program Standards Grant Team at (850) 583-4593 if your phone number or email address has changed, or if you cannot find your username. Your password can be reset from the login page of the grant portal.
- Many applicants find it helpful to gather the required information into a word processing document, and then cut and paste that information into the grant portal. This may be especially helpful if you have Internet connection issues or have limited time to access the portal.
- Once you begin to type (or copy and paste) information into the portal, be sure to periodically click the “**Save**” button at the bottom of the screen. After clicking the “**Save**” button, you may log out of the system if necessary without losing your information. Saved applications may be viewed by clicking “**Draft Applications**” under the “Applications” heading in the menu on the left panel of your dashboard.
- Your application cannot be submitted until you complete all required fields. Once you have completed all required fields, you should click the “**Submit**” button at the bottom of the screen. Do not click the “**Submit**” button until your application is complete. If you inadvertently select “**Submit**” before your application is complete, contact the AFDO-Managed Retail Program Standards Grants Management Team before the application submittal deadline (October 2, 2017) and your application can be moved back to the “Draft” state.

### STEP 1 – ELIGIBILITY QUIZ

From <http://retailstandards.fluxx.io>, select the button “**New User Registration**” and take the Eligibility Quiz (as described in *Best Practices* above, users with an existing username can skip to *STEP 4 – APPLY FOR A GRANT* below). The Eligibility Quiz consists of the following questions:

- A. Do you represent a retail food safety organization or entity? (Required. Select from the drop-down menu)
- B. Is your jurisdiction enrolled in the Voluntary National Retail Food Regulatory Program Standards (Retail Program Standards)? (Required. Select from the drop-down menu)  
  
*Note: If your jurisdiction is not yet enrolled, please enroll using information found at <http://www.afdo.org/retailstandards/enroll>, and then come back and complete the Eligibility Quiz.*
- C. Have you coordinated with the leadership of your jurisdiction to ensure that no more than one (1) application will be submitted in each AFDO-Managed Retail Program Standards Grant Program Category (1, 2, 3, and 4), and no more than four (4) total applications will be submitted by your jurisdiction for this grant program during the current round of funding? (Required. Select from the drop-down menu)
- D. Click “**Submit**”.

#### STEP 2 – LETTER OF INTENT/ACCOUNT REGISTRATION

Register as a Point of Contact (POC) for your jurisdiction through the AFDO-Managed Retail Program Standards grant portal. This step only appears if all answers to the Eligibility Quiz in Step 1 are answered as “Yes.” Information required to complete this step consists of:

- A. PRIMARY CONTACT (List the name and information for the person who will serve as the primary POC for the grant application process.)
  - i. First Name (Required)
  - ii. Last Name (Required)
  - iii. User Title
  - iv. Email Address (Required)
  - v. Phone Number (Be sure to include the area code and any extension.)
- B. ORGANIZATION (Complete all the requested information for your retail food safety jurisdiction.)
  - i. Legal Name of Organization (Required)
  - ii. Address (Required)
  - iii. City (Required)
  - iv. Country (Required. Select from the drop-down menu – You must select “United States” from the Country drop-down menu first, which will then populate the State/Province drop-down)
  - v. State/Province (Required. Select from the drop-down menu.)
  - vi. Postal Code (Required)
- C. ADDITIONAL INFORMATION (Complete this information relating to the Retail Program Standards.)

- i. On what date did your jurisdiction enroll in the Retail Program Standards? (Enter the date which can be verified by using the “Listing of Jurisdictions” at <https://www.fda.gov/food/guidanceregulation/retailfoodprotection/programstandards/ucm121796.htm>)
  - ii. Has your jurisdiction conducted a Self-Assessment of all nine Standards? (Select “Yes” or “No”.)
  - iii. How did you hear about this funding program? (Use the “>” and “<” buttons to move all fields that apply from the box on the left to the box on the right.)
- D. Once you have entered and reviewed all the required information listed above, click the “**Submit Request**” button at the bottom of the screen.

### STEP 3 – RECEIVE YOUR USERNAME AND PASSWORD

Within two business days of registration (but normally sooner, often within 30 minutes) you will receive an email with your username and a password. This email will come to the POC email address you entered during registration. Once you receive these credentials, you may log into the AFDO-Managed Retail Program Standards grants management portal, and begin working on your application(s).

Be sure to save your username and password, as these credentials will be used after you submit to check the status of your application(s). IN RARE CASES, SOME EMAILS ARE FILTERED OUT OR SENT TO SPAM FOLDERS. IF YOU DO NOT RECEIVE AN EMAIL WITH YOUR USERNAME AND PASSWORD WITHIN TWO (2) DAYS OF REGISTRATION, PLEASE CONTACT THE AFDO-MANAGED RETAIL PROGRAM STANDARDS GRANTS MANAGEMENT TEAM.

### STEP 4 – APPLY FOR A GRANT

Complete your grant application(s) by using your username and password to log into the AFDO-Managed Retail Program Standards Grant Portal at <https://retailstandards.fluxx.io>. A single POC from a jurisdiction may apply for up to four (4) grants (one in each category). Multiple POCs from a single jurisdiction may register and apply for grants through this program, but they should coordinate to ensure they do not apply for more than one (1) grant in each category, and no more than four (4) grants in total for the current grant cycle. If more than four (4) applications are made by a single jurisdiction, only the first application in each of the project categories will be evaluated.

Once you log into your user dashboard, you can begin the application process by clicking “**Apply Now**” from the menu on the left side of the screen. Select either “**Apply Category 1- Small Projects**”, “**Apply Category 2- Moderate Projects**”, “**Apply Category 3- Training Projects**”, or “**Apply Category 4- Food Protection Task Force Support Projects**” to begin

your application. Then enter all required information, including:

**A. ORGANIZATION INFORMATION**

- i. Organization (This is what you entered when applying for an account. Verify this is correct. Otherwise, you should contact the grant support team.)
- ii. Location (Required. Make sure the entry “Your Organizational Name – headquarters” remains selected from the dropdown.)
- iii. Primary Contact (Select your name from the dropdown.)
- iv. Confirm Primary Contact (Select your name from the dropdown. Your organization may only have one Primary Contact, so both “Contact” fields should provide the same name.)
- v. Jurisdictional Level (Select your jurisdictional level from the dropdown.)

**B. AUTHORIZING OFFICIAL INFORMATION (List the name and information for the person in your jurisdiction who is authorized to approve this grant contract if awarded.)**

- i. Authorizing Official Title (Required)
- ii. Authorizing Official First Name (Required)
- iii. Authorizing Official Last Name (Required)
- iv. Authorizing Official Email Address (Required)
- v. Authorizing Official Phone (Required. Be sure to include the area code.)

**C. PROJECT INFORMATION (Complete the “Project Information” section according to the funding Category below that applies to your project.)**

**Category 1 – Small Project Fixed-Reimbursement Grants (Completion of a Self-Assessment of All Nine Standards, Completion of an Updated Self-Assessment of all Nine Standards, Completion of Verification Audit for One Standard, and Completion of Verification Audit for Two or More Standards)**

- i. Select “Yes” or “No” to the following: Have you conducted a Self-Assessment of all nine Standards?
  - a) If selecting “Yes,” enter the Date of Most Recent Self-Assessment. Select your subcategory from the four (4) choices provided. Three (3) of these selections are fixed-reimbursement grants: Completion of an Updated Self-Assessment of All Nine Standards, Completion of Verification Audit for One Standard, and Completion of Verification Audits for Two or More Standards. (Note: If you intend to complete a

- Custom Project Related to Meeting One or More Standards, please skip to the “Custom Project” direction set on the next page).
- b) Selecting “No” will limit your subcategory choices to “Completion of a Self-Assessment of all Nine Standards.”
  - ii. Identify which Retail Program Standards your jurisdiction intends to accomplish with this project by double clicking values in the selection box **or** click the “>” button to move your selection from the left side to the right side. *Note: If performing a Self-Assessment, select all 9 Retail Program Standards.*
  - iii. Project Title (Create a simple, descriptive project title using 255 characters or less. Examples: “DeKalb County GA Self-Assessment” or “Guam Risk Factor Study”.)
  - iv. Project Start Date (Enter a date between January 1, 2018 and December 31, 2018.)
  - v. Project End Date (Enter a date between January 1, 2018 and December 31, 2018.)
  - vi. Amount Requested:
    - a) For Completion of a Self-Assessment of all Nine Standards, enter \$2,500.
    - b) For Completion of an Updated Self-Assessment of All Nine Standards, enter \$2,500.
    - c) For Completion of Verification Audit for One Standard, enter \$2,000.
    - d) For Completion of Verification Audits for Two or More Standards, enter \$3,000.
    - e) For a Custom Project Related to Meeting One or More Standards, enter the amount of the grant request (between \$500 and \$3,000).
  - vii. Project Summary (Describe your project and provide an outline of your project plan. Include one to three project objectives, a timeline for the specific activities you will need to complete as part of the overall project, expected completion dates for each activity, and any non-personnel resources needed for completion of the project. Maximum of 1,500 characters)
  - viii. Project Members (Please list the name, title, and agency for all individuals who will be responsible for the completion of this project, briefly explain the project role for each person listed, and briefly explain the experience and expertise that makes each an appropriate choice to carry out their required project task[s]. Maximum of 1,500 characters)
  - ix. Project Outcomes (Please list one to three expected project outcomes that illustrate how this project will allow your jurisdiction to achieve greater conformance with the goals of the Retail Program Standards. Briefly describe the relevance of these expected project outcomes to the funding program goals and explain how you plan to measure achievement of your expected outcome[s]. Maximum of 1,500 characters)
  - x. Continue to the *BUDGET INFORMATION* section below.

### Category 1 – Small Project Custom Grants

- i. Select “Yes” or “No” to the following: Have you conducted a Self-Assessment of all nine Standards? (Note: You are not eligible to apply for a Custom Project if you have not conducted a self-assessment.)
  - a) If selecting “Yes,” enter the Date of Most Recent Self-Assessment. Select your subcategory from the four (4) choices provided. Select the option: Custom Project Related to Meeting One or More Standards.
  - b) Selecting “No” will make you ineligible to apply for Custom Project funding.
- ii. Standards and Elements Instructions:
  - a) See “Appendix A” at the conclusion of this guidance, or use the blue hyperlink provided within the application for a complete list of Standards – Elements.
  - b) View the list of definitions of Standards - Elements to guide you in making your selections.
  - c) Select from the Standards list. You can select multiple values (Standards) by holding your Ctrl key on a PC or Cmd key on a Mac. Double click values or click the > arrow button to move your selections from the left to the right side.
  - d) Review the Element selection boxes that appear, corresponding to each Standard you have selected. Select the Elements that apply. You can select multiple values (Elements) by holding your Ctrl key on a PC or Cmd key on a Mac. Double click values or click the > arrow button to move your selections from the left to the right side.
- iii. Project Title (Create a simple, descriptive project title using 255 characters or less. Examples: “DeKalb County GA Self-Assessment” or “Guam Risk Factor Study”)
- iv. Project Start Date (Enter a date between January 1, 2018 and December 31, 2018.)
  - v. Project End Date (Enter a date between January 1, 2018 and December 31, 2018.)
- vi. Amount Requested (Enter an amount between \$500 and \$3,000 for your Custom Project.)
- vii. Project Summary (Describe your project and provide an outline of your project plan. Include one to three project objectives, a timeline for the specific activities you will need to complete as part of the overall project, expected completion dates for each activity, and any non-personnel resources needed for completion of the project. Maximum of 1,500 characters)
- viii. Project Members (Please list the name, title, and agency for all individuals who will be responsible for the completion of this project, briefly explain the project role for each person listed, and briefly explain the experience and expertise that



- makes each an appropriate choice to carry out their required project task[s]. Maximum of 1,500 characters)
- ix. Project Outcomes (Please list one to three expected project outcomes that illustrate how this project will allow your jurisdiction to achieve greater conformance with the goals of the Retail Program Standards. Briefly describe the relevance of these expected project outcomes to the funding program goals and explain how you plan to measure achievement of your expected outcome[s]. Maximum of 1,500 characters)
  - x. Continue to the *BUDGET INFORMATION* section below.

### Category 2 – Moderate Projects

- i. Select “Yes” or “No” to the following: Have you conducted a Self-Assessment of all nine Standards? (Note: You are not eligible to apply if you have not conducted a self-assessment with the last 5 years: on or after January 1, 2013.)
  - a) If selecting “Yes,” enter the Date of Most Recent Self-Assessment.
  - b) Selecting “No” will make you ineligible to apply for Moderate Project funding.
- ii. Standards and Elements Instructions:
  - a) See “Appendix A” at the conclusion of this guidance, or use the blue hyperlink provided within the application for a complete list of Standards – Elements.
  - b) View the list of definitions of Standards - Elements to guide you in making your selections.
  - c) Select from the Standards list. You can select multiple values (Standards) by holding your Ctrl key on a PC or Cmd key on a Mac. Double click values or click the > arrow button to move your selections from the left to the right side.
  - d) Review the Element selection boxes that subsequently appear, corresponding to each Standard you selected. Select the Elements that apply.  
You can select multiple values (Elements) by holding your Ctrl key on a PC or Cmd key on a Mac. Double click values or click the > arrow button to move your selections from the left to the right side.
- iii. Project Title (Create a simple, descriptive project title using 255 characters or less. Examples: “Retail Program System Data Infrastructure Update” or “Completion of Foodborne Illness Risk Factor Study”)
- iv. Project Start Date (Enter a date between January 1, 2018 and December 31, 2018.)
- v. Project End Date (Enter a date between January 1, 2018 and December 31, 2018.)
- vi. Amount Requested (Enter an amount between \$10,000 and \$20,000 for your Moderate Project.)

- vii. Project Summary (Describe your project and provide an outline of your project plan. Include one to three project objectives, a timeline for the specific activities you will need to complete as part of the overall project, expected completion dates for each activity, and any non-personnel resources needed for completion of the project. Maximum of 3,000 characters)
- viii. Project Members (Please list the name, title, and agency for all individuals who will be responsible for the completion of this project, briefly explain the project role for each person listed, and briefly explain the experience and expertise that makes each an appropriate choice to carry out their required project task[s]. Maximum of 1,500 characters)
- ix. Project Outcomes (Please list one to three expected project outcomes that illustrate how this project will allow your jurisdiction to achieve greater conformance with the goals of the Retail Program Standards. Briefly describe the relevance of these expected project outcomes to the funding program goals and explain how you plan to measure achievement of your expected outcome[s]. Maximum of 1,500 characters)
- x. Continue to the *BUDGET INFORMATION* section below.

### Category 3 – Training Projects

- i. Project Title (Create a simple, descriptive project title using 255 characters or less. Examples: “National Environmental Health Association Conference” or “FDA Regional Seminar”)
- ii. Project Start Date (Enter a date between January 1, 2018 and December 31, 2018.)
- iii. Project End Date (Enter a date between January 1, 2018 and December 31, 2018.)
- iv. Amount Requested (Enter an amount between \$500 and \$3,000 for your Training Project.)
- v. Type of Training:
  - a) For what type of training are you requesting funds? (Field Training Plan Workshop, Course Related to the Development and Implementation of a Foodborne Illness Risk Factor Study, Attendance to an FDA Regional Retail Food Safety Seminar, Attendance to Retail Food Safety Training Courses, Conferences, Workshops or Seminars, or Program Standards Self-Assessment and Verification Audit Workshop.)
  - b) Select all trainings from the list that apply. You can select multiple values (Trainings) by holding your Ctrl key on a PC or Cmd key on a Mac. Double click values or click the > arrow button to move your selections from the left to the right side.
- vi. Course Name (Enter the name[s] of the course[s], conference[s], workshop[s], and/or seminar[s] you wish to attend with this Training grant funding.)

- vii. Course Number (Enter the Course Number[s] or other identifying information for your trainings.)
- viii. Conformance with the Retail Program Standards (Use the text box to describe how attendance at this training will improve your jurisdiction’s conformance with the Retail Program Standards.)
- ix. Location(s) of Trainings(s) (Enter the Location[s] of Training[s] as described above.)
- x. Attendance Required (Is attendance at the training required to maintain FDA Standardization? Use the drop-down to select “Yes” or “No.”)
- xi. Number Receiving Direct Training (Use the drop-down to select the number of individuals receiving direct training.)
- xii. Training Description (Provide the name and a brief description of the proposed training[s] you plan to attend. Include one to three training objectives. Maximum of 1,500 characters)
- xiii. Training Participants (Please list the title and responsibilities for each person who will receive direct training using funds from this grant and explain why each is an appropriate choice to attend this training. Maximum of 1,500 characters)
- xiv. Continue to the *BUDGET INFORMATION* section below.

**Category 4 – Food Protection Task Force (or Advisory Council) Support Projects**

*TASK FORCE INFORMATION: These funds are intended for travel and training to existing food protection Task Force meetings or other Task Force sponsored events. Task Forces also include food advisory councils or committees that have the same or similar missions of a Food Protection Task Force and include states, locals, industry, and consumers in their membership.*


- i. Which Standard(s) will this project help you meet? (Select all that apply by double clicking values in the selection box below **or** click the > arrow button to move your selection from the left side to the right side. You can select multiple values [Standards] by holding your Ctrl key on a PC or Cmd key on a Mac. Double click values or click the > arrow button to move your selections from the left to the right side.)
- ii. Meeting Name or Event (Name the Task Force meeting or other sponsored event you want to attend using 255 characters or less.)
- iii. Participation is Authorized (Use the drop-down to select “Yes” or “No.” If answer is “No,” please obtain authorization prior to applying for these funds.)
- iv. Project Start Date (Enter a date between January 1, 2018 and December 31, 2018.)
- v. Project End Date (Enter a date between January 1, 2018 and December 31, 2018.)


- vi. Amount Requested (Enter an amount between \$500 and \$3,000 for your Task Force Project.)
- vii. Topic Summary (Provide a description / list of topics that will be discussed at the Task Force meeting. Maximum of 1,500 characters)
- viii. Meeting Participants (Name the title[s] and responsibilities of Participants who will attend each event. Maximum 1,500 characters)
- ix. Outcomes (Please enter the projected outcomes your agency expects to achieve and indicate how attending this meeting will enhance your jurisdiction's conformance with the Retail Program Standards. Maximum 1,500 characters.
- x. Continue to the *BUDGET INFORMATION* section below.

#### D. BUDGET INFORMATION

Important Note: This section is not required for Category 1 fixed-reimbursement grants (Completion of a Self-Assessment of All Nine Standards, Completion of an Updated Self-Assessment of all Nine Standards, Completion of Verification Audit for One Standard, and Completion of Verification Audit for Two or More Standards). These are fixed-reimbursement grants that have predetermined award amounts.

If you are applying for Category 1 (Custom Project Relating to One or More Standards), Category 2, Category 3, or Category 4 Projects, then the Budget Information section is required:

- i. Budget Worksheet Instructions:
  - a) Click the plus sign  to open the Budget Worksheet.
  - b) Provide start and end dates for the budget--*these should align with the Project Start and End Dates provided on the request form above.*
  - c) Fill in cost item descriptions in the "Item" column.
  - d) For Category 1 Custom Projects and Category 2 Moderate Projects, create "Budget Line Items" (costs) required for your project. For example: *Personnel Costs, Contracts, Equipment* (single items over \$500), *Supplies, Travel*, etc. Ten-line items for expenses are provided. You are not required to use all ten spaces. (Note: You are not required to enter personnel costs if that is not part of your budget.)
  - e) For Category 3 Training Projects and Category 4 Task Force Support Projects, create "Budget Line Items" (costs) using the predetermined categories provided: *Airfare, Rental Car, Gas, Mileage, Hotel / Lodging, Federal Per Diem / Meals, Taxi / Shuttle, Other Transportation, Registration / Training Fees*. Three additional line items are provided for unique costs.

- (Note: You are not required to enter costs for the predetermined categories if they are not applicable to your budget.)
- f) Fill in cost item amounts in the Budgeted column.
  - g) Click **“Save”** to save the Budget Worksheet. A “Budget Snapshot” will appear with the total amount auto-calculated at the bottom. The total must match the “Amount Requested” entry in the application.
  - h) To edit the Budget Worksheet, click the edit icon  to open the form.
  - i) The portal forms do not auto-save. You must click the **“Save”** button to ensure your data will not be lost.
- ii. Budget Narrative (Provide a Budget Narrative that details the funds required to achieve your project and explains the Budget Worksheet above. Maximum of 1,500 characters.)
  - iii. Verifications:
    - a) Click the checkbox below to verify you completed the Budget Worksheet. (“I confirm that I have completed the Budget Worksheet.”)
    - b) A pop-up box will appear.
    - c) Optional: the pop-up box has a Note field. Leaving a note here is optional.
    - d) Click the **“Save”** button to save your checkmark. *Once checked, these cannot be unchecked.*

#### STEP 5 – SAVE AND SUBMIT

Once you have entered all the required information in Steps 3 and 4, carefully review the information you have entered. Click the blue **“Save”** button at the bottom right corner of your screen (we recommend that you save often during the application process to ensure your work is captured). Note: Saved applications may be viewed by clicking **“Draft Applications”** under the “Applications” heading in the menu on the left panel of your dashboard.

Your application cannot be submitted until you complete all required fields. To make changes to a saved application, click the **“Edit”** button at the top right corner of your screen. Before the grant program deadline, once you have reviewed your application and are confident the information entered into all fields is correct, clear, and complete, click the green **“Submit”** button in the bottom right corner of your screen to submit your application. A “Note for Submit” box will appear, but it is not required to enter any notes. Click **“OK”**.

## Appendix A - Important Web Links

AFDO-MANAGED RETAIL PROGRAM STANDARDS GRANTS HOMEPAGE – <http://afdo.org/retailstandards>

All the information for this grant program, including the latest information and program updates, and access to the grant portal, can be found at this site.

FDA RETAIL PROGRAM STANDARDS INFORMATION – <http://afdo.org/fda-vnrfrps>

This is a link to the official FDA site, with comprehensive information regarding the Voluntary National Retail Food Regulatory Program Standards [the Retail Program Standards].

ENROLLMENT FOR THE RETAIL PROGRAM STANDARDS – <http://afdo.org/retailstandards/enroll>

If your jurisdiction is not already registered, visit this site to register your jurisdiction in the FDA Retail Program Standards.

FDA RETAIL FOOD SPECIALISTS – <http://afdo.org/retailstandards/fdaregionalcontacts>

Find the name and contact information for the FDA Retail Food Specialist assigned to your geographic area. This person can assist your jurisdiction with registration and guidance as you pursue conformance with the Retail Program Standards.

AFDO-MANAGED RETAIL PROGRAM STANDARDS GRANT PORTAL – <https://retailstandards.fluxx.io>

This link leads directly to the grant portal where you can register and apply for grants for this FDA-funded opportunity. The portal will be open for new applications from September 4, 2017 until 7:59 PM ET on October 2, 2017. This portal can also be reached through the FDA & AFDO Retail Program Standards Grants homepage.

DOWNLOAD A MODERN BROWSER – <http://afdo.org/retailstandards/browsers>

The grants management portal has minimum requirements for security and functionality reasons. Utilize this link to access and download a modern browser that is compatible with the system. Contact your jurisdiction's information technology office for assistance.

PROJECT IDEAS – <http://afdo.org/retailstandards/ideas>

This page provides additional project ideas based on funded projects from previous years.

## Appendix B – VNRFRPS: Elements & Descriptions for all Nine (9) Program Standards

The following includes a complete list of each Voluntary National Retail Food Regulatory Program Standard Element and its corresponding description. Please reference <https://www.fda.gov/food/guidanceregulation/retailfoodprotection/programstandards/ucm245409.htm> for additional information related to the Program Standards.

Standard	Element	Description
1	1A	a. The jurisdiction has documentation that it has performed a side-by-side comparison of its prevailing statutes, regulations, rules and other pertinent requirements against the current published edition of the FDA Food Code or one of the two most recent previous editions of the FDA Food Code.
	1B	b. The jurisdiction’s side-by-side comparison includes an assessment of major Food Code Interventions and Risk Factors, Good Retail Practices, and Compliance/Enforcement Administrative requirements.
	1C	c. The regulatory foundation assessment clearly identifies the jurisdictions corresponding requirement to the applicable Code Section. The assessment provides a determination as to whether a specific provision in the jurisdiction’s regulation meets the intent of the corresponding FDA Food Code Section.
	2A	a. The jurisdiction’s initial Food Code assessment indicates that the agency’s regulatory requirements contain at least 9 of the 11 FDA Food Code intervention and risk factor controls. By the third verification audit the jurisdiction’s assessment indicated that the agency’s regulatory requirement contain all 11 of the Food Code invention and risk factor controls. Documentation from: Part I – Self Assessment Worksheet, Part I – Verification Audit Worksheet
	2B	b. The jurisdiction’s Food Code assessment indicates that the agency has a corresponding requirement for ALL FDA Food Code provisions related to the interventions and risk factor controls. NOTE: Auditor’s random selection of Food Code Intervention and Risk Factor Control Sections confirms the jurisdiction’s assessment that a corresponding requirement is contained in the agency’s rules, regulations, ordinances, code, or statutes.

Standard	Element	Description
	3A	<p>a. The jurisdiction’s initial Food Code assessment indicates that regulatory requirements contain at least 95 percent of the FDA Food Code Good Retail Practices Sections. NOTE: Auditor’s random selection of Good Retail Practices Code Sections confirms the jurisdiction’s assessment that a corresponding requirement is contained in the agency’s code or statutes. Documentation from: Part II – Self-Assessment Worksheet, Part II – Verification Audit Worksheet</p>
	4A	<p>a. The jurisdiction’s initial Food Code assessment indicates that regulatory requirements contain ALL the FDA Food Code Compliance and Enforcement Sections identified in the Standard. NOTE: Auditor’s random selection of Compliance and Enforcement Code Sections confirms the jurisdiction’s assessment that a corresponding requirement is contained in the agency’s code or statutes. Documentation from: Part III – Self Assessment Worksheet, Part III – Verification Audit Worksheet</p>
2	1A	<p>a. The jurisdiction maintains a written training record for each employee that includes the date of hire or assignment to the agency’s retail food protection program.</p>
	1B	<p>b. The jurisdiction written training record provides documentation that each employee has completed the Standard #2 pre-requisite (“Pre”) training curriculum PRIOR to conducting independent retail food or foodservice inspections.</p>
	2A	<p>a. The jurisdiction maintains a written training record that provides confirmation that each employee completed a minimum of 25 joint field training inspections of retail food and/or foodservice establishments (if less than 25 joint field training inspections are performed, written documentation on file that FSIO has successfully demonstrated all required inspection competencies) PRIOR to conducting independent retail food or foodservice inspections</p>
	2B	<p>b. The jurisdiction maintains a written training record that provides confirmation that each employee successfully completed a field training process similar to that contain in the CFP Field Training Manual provided in Appendix B-2, Standard 2, PRIOR to conducting independent inspections of retail food and/or foodservice establishments.</p>
	3A	<p>a. The jurisdiction maintains a written training record that provides confirmation that each employee completed a minimum of</p>



Standard	Element	Description
		25 independent retail food and/or foodservice inspections PRIOR to field standardization.
	3B	b. The jurisdiction written training record provides documentation that each employee has completed ALL aspects of the Standard #2 training curriculum (“Pre”) and (“Post”) courses PRIOR to field standardization.
	4A	a. The jurisdiction maintains a written training record that provides documentation that each employee successfully completed a Standardization process similar to the ‘FDA Procedures for Standardization’ within 18 months of hire or assignment to the retail food protection program.
	4B	b. The jurisdiction maintains a written training record that provides documentation that each standardized employee has maintained their standardization by performing a minimum of 4 joint inspections with a “training standard” every 3 years.
	5A	a. The jurisdiction maintains a written training record that provides documentation that each employee conducting retail food and/or foodservice inspections has accumulated 20 hours of continuing education every 36 months after the initial training (18) months is completed.
3	1A	a. The jurisdiction’s inspection form identifies foodborne illness risk factors and Food Code interventions.
	1B	b. The jurisdiction’s inspection form documents actual observations using the convention IN, OUT, NA, and NO.
	1C	c. The jurisdiction’s inspection form documents compliance and enforcement activities.
	2A	a. A risk assessment is used to group food establishments into at least 3 categories based on their potential and inherent food safety risks.
	3A	a. The jurisdiction’s inspection frequency is based on the assigned risk categories.
	4A	a. The jurisdiction has a written and implemented policy that requires on-site corrective action for foodborne illness risk factors observed to be out of compliance.
	4B	b. The jurisdiction has a written and implemented policy that requires discussion for long-term control of foodborne illness risk factors.

Standard	Element	Description
	4C	c. The jurisdiction has a written and implemented policy that requires follow-up activities on foodborne illness risk factor violations.
	5A	a. The jurisdiction has a written and implemented policy on variance requests related to foodborne illness risk factors and Food Code interventions.
	6A	a. The jurisdiction has a written and implemented policy for the verification and validation of HACCP plans when a plan is required by Code.
4	1A	a. The jurisdiction has a written quality assurance program that covers all regulatory staff that conducts retail food and/or foodservice inspections.
	1B	b. The jurisdiction periodically conducts an analysis of the results of the quality assurance program to identify quality or consistency problems among the staff in the ten quality elements.
	1C	c. The jurisdiction’s written quality assurance program describes corrective actions to address an individual retail food program inspector’s performance quality or consistency issues when they are identified.
	2	The jurisdictions quality assurance program provides a method to review or monitor, either individually or programmatically, the concepts in the ten quality elements. The ten elements follow in I. through X.
	2.I	I. The jurisdiction’s quality assurance program assures that each inspector documents the compliance status of each foodborne illness risk factor and intervention through observation and investigation. (i.e., Proper and consistent use of the inspection form using IN, OUT, NA, NO appropriately.)
	2.II	II. The jurisdiction’s quality assurance program assures that each inspector completes an inspection report that is clear, legible, concise, and accurately records findings, observations and discussion with establishment management.
	2.III	III. The jurisdiction’s quality assurance program assures that each inspector interprets and applies laws, regulations, policies and procedures correctly.
	2.IV	IV. The jurisdiction’s quality assurance program assures that each inspector cites the proper local code provisions for the CDC-identified risk factors and Food Code interventions.

Standard	Element	Description
	2.V	V. The jurisdiction’s quality assurance program assures that each inspector reviews past inspection findings and acts on repeated or unresolved violations.
	2.VI	VI. The jurisdiction’s quality assurance program assures that each inspector follows through with compliance and enforcement in accordance with the agency’s procedures.
	2.VII	VII. The jurisdiction’s quality assurance program assures that each inspector obtains and documents on-site corrective action for out-of-control risk factors at the time of inspection as appropriate to the violation.
	2.VIII	VIII. The jurisdiction’s quality assurance program assures that each inspector documents that options for the long-term control of risk factors were discussed with managers when the same out-of-control risk factor occurred on consecutive inspections.
	2.IX	IX. The jurisdiction’s quality assurance program assures that each inspector verifies that the establishment is in the proper risk category and that the required inspection frequency is being met.
	2.X	X. The jurisdiction’s quality assurance program assures that each inspector files reports and other documents in a timely manner.
	3A	a. The program effectiveness measure documents that 2 self-assessment field reviews were conducted for each employee performing retail food and or foodservice inspection work during the five-year self-assessment period. [New staff who have not completed Steps 1 through 3 of Standard 2 are exempt from this field measurement.]
	3B	b. Based on the self-assessment field reviews using the statistical method described in Standard 4: Self-Assessment Worksheet, the jurisdiction’s regulatory staff achieves a rate of 75% on each quality element for jurisdictions with 10 or more inspectors. For jurisdictions with less than 10 inspectors, the achievement rate meets or exceeds the Table 4-1 calculation.
5	1A	a. The program has written operating procedures for responding to and/or conducting investigations of foodborne illness and food-related injury that clearly identify the roles, duties, and responsibilities of program staff and how the program interacts with other relevant departments and agencies. (The procedures may be contained in a single source document or in multiple documents.)

Standard	Element	Description
	1B	b. The program maintains contact lists for individuals, departments, and agencies that may be involved in the investigation of foodborne illnesses, food-related injuries or contamination of food.
	1C	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.
	1D	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.
	1E	e. Program procedures describe the disposition, action, or follow-up, and reporting required for each type of complaint or referral report.
	1F	f. Program procedures require disposition, action or follow-up on each complaint or referral report alleging food-related illness or injury within 24 hours.
	1G	g. The program has established procedures and guidance for collecting information on the suspect foods' preparation, storage or handling during on-site illness, food-injury, or outbreak investigations.
	1H	h. Program procedures provide guidance for immediate notification of appropriate law enforcement agencies if at any time intentional food contamination is suspected.
	1I	i. Program procedures provide guidance for the notification of appropriate state and/or federal agencies when a complaint involves a product that originated outside the agency's jurisdiction or has been shipped interstate.
	2A	a. Possible contributing factors to the illness, food-related injury, or intentional food contamination are identified in each on-site investigation report.
	2B	b. The program shares final reports of investigations with the state epidemiologist and reports of confirmed disease outbreaks with CDC.

Standard	Element	Description
	3A	a. The program has a letter of understanding, written procedures, contract or MOU acknowledging that a laboratory(s) is willing and able to provide analytical support to the jurisdiction’s food program. The documentation describes the type of biological, chemical, radiological contaminants or other food adulterants that can be identified by the laboratory. The laboratory support available includes the ability to conduct environmental, food, and/or clinical sample analyses.
	3B	b. The program maintains a list of alternative laboratory contacts from which assistance could be sought in the event that a food-related emergency exceeds the capability of the primary support lab(s) listed in paragraph 3.a. This list should also identify potential sources of laboratory support such as FDA, USDA, CDC, or environmental laboratories for specific analysis that cannot be performed by the jurisdiction’s primary laboratory(s).
	4A	a. Program management has an established procedure to address the trace-back of foods implicated in an illness, outbreak or intentional food contamination. The track-back procedure provides for the coordinated involvement of all appropriate agencies and identifies a coordinator to guide the investigation. Trace-back reports are shared with all agencies involved and with CDC.
	5A	a. Program management has an established procedure to address the recall of foods implicated in an illness, outbreak, or intentional food contamination.
	5B	b. When the jurisdiction has the responsibility to request or monitor a product recall, written procedures equivalent to 21 CFR, Part 7 are followed.
	5C	c. Written policies and procedures exist for verifying the effectiveness of recall actions by firms (effectiveness checks) when requested by another agency.
	6A	a. The program has a written policy and procedure that defines a protocol for providing information to the public regarding a foodborne illness outbreak or food safety emergency. The policy/procedure should address coordination and cooperation with other agencies involved in the investigation. A media person is designated in the protocol.

Standard	Element	Description
	7A	a. At least once per year, the program conducts a review of the data in the complaint log or database and the illness and food-related injury investigations to identify trends and possible contributing factors that are most likely to cause illness or injury. These periodic reviews of multiple complaints and contributing factors may suggest a need for further investigations and may suggest steps for illness prevention.
	7B1	b. The review is conducted with prevention in mind and focuses on but is not limited to, the following: 1) Multiple complaints on the same establishment;
	7B2	2) Multiple complaints on the same establishment type;
	7B3	3) Multiple complaints implicating the same food;
	7B4	4) Multiple complaints associated with similar food preparation processes;
	7B5	5) Number of confirmed foodborne disease outbreaks;
	7B6	6) Number of foodborne disease outbreaks and suspect foodborne disease outbreaks;
	7B7	7) Contributing factors most often identified;
	7B8	8) Number of complaints involving real and alleged threats of intentional food contamination; and
	7B9	9) Number of complaints involving the same agent and any complaints involving unusual agents when agents are identified.
	7C	c. In the event that there have been no illness or food-related injury outbreak investigations conducted during the twelve months prior to the trend analysis, program management will plan and conduct a mock foodborne illness or food defense investigation to test program readiness. The mock investigation should simulate response to an actual illness outbreak and include on-site inspection, sample collection and analysis. A mock investigation must be completed at least once per year when no illness outbreak investigations occur.
6	1A	a. The jurisdiction has a written step-by-step compliance and enforcement procedure that describes what actions and tools (forms/documents/interventions) are to be used to achieve compliance.
	1B	b. The jurisdiction’s inspection form(s) record and quantify the compliance status of foodborne illness risk factors, <i>Food Code</i> interventions and other serious code violations.

Standard	Element	Description
	2A	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.
	2B	b. The jurisdiction has written documentation verifying that at least 80 percent 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.
7	1A	a. The jurisdiction maintains written documentation confirming that the agency has sponsored or actively participated in at least one meeting/forum annually, such as food safety task forces, advisory boards or advisory committees. Documentation confirms that offers of participation have been extended to industry and consumer representatives.
	1B	a. The jurisdiction maintains written documentation confirming that the agency has sponsored or coordinated at least one educational outreach activity annually directed at industry; consumer groups; the media; and or elected officials. Education outreach activities focus on increasing awareness of foodborne illness risk factors and control methods to prevent foodborne illness and may include industry recognition programs; web sites; newsletters; Fight BAC campaigns; food safety month activities; food worker training, consumer surveys, etc.
8	1A	a. The jurisdiction has written documentation, calculations, or a program resource assessment that demonstrated a staffing level of one full-time equivalent (FTE) for every 280-320 retail food program inspections performed.
	2A	a. The jurisdiction can demonstrate 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.
	2B	b. The jurisdiction has a written procedure for obtaining the use of computers, cameras, black lights, light meters, pH meters, foodborne illness kits, sample collection kits, data loggers and cell phones should this equipment not be part of the agency’s general equipment inventory.

Standard	Element	Description
	3A	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.
	3B	b. The jurisdiction has a system in place to collect, analyze, retain and report pertinent information required to manage and implement the retail food protection program.
	4A	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.
	4B	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.
	4C	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.
	4D	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.
	4E	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.
	4F	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.
	4G	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.
	4H	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.
9	1A	a. A study on the occurrence of foodborne illness risk factors has been completed and includes data for each facility type regulated by the jurisdiction collected over the study cycle.



Standard	Element	Description
	1B	b. The data collection form includes items pertaining to the following Center for Disease Control and Prevention (CDC) identified contributing factors to foodborne illness: <ol style="list-style-type: none"> <li>1. Food from Unsafe Sources,</li> <li>2. Improper Holding/Time and Temperature,</li> <li>3. Inadequate Cooking,</li> <li>4. Poor Personal Hygiene, and</li> <li>5. Contaminated Equipment/Protection from Contamination</li> </ol>
	1C	c. The data collection form provides for marking actual observations of food practices within an establishment (IN, OUT, NO, and NA).
	2A	a. A report is available that shows the results of the data collection from the jurisdiction’s foodborne illness risk factor study
	2B	b. The report provides quantitative measurements upon which to assess the trends in the occurrence of foodborne illness risk factors over time.
	3A	a. A targeted intervention strategy designed to address the occurrence of the risk factor(s) identified in their RISK FACTOR STUDY is implemented and the effectiveness of such strategy is evaluated by subsequent RISK FACTOR STUDIES or other similar tools
	3B	b. Documentation is provided of performed interventions, action, or activities designed to improve control of foodborne illness risk factors.