



# AFDO-Managed Retail Program Standards

# Grant Program

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

## GRANT GUIDANCE

## CALENDAR YEAR 2021 AWARDS

APPLICATION PERIOD: SEPTEMBER 2 – OCTOBER 13, 2020

*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 GRANTS GOALS

The following are the goals for the AFDO-Managed 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 or Retail Program Standards). 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 2021 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 2021 grant cycle (Application Period September 2, 2020 – October 13, 2020).

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 the morning of Wednesday, September 2, 2020. All applications must be completed and successfully submitted through the portal by Tuesday, October 13, 2020 at 7:59 PM Eastern Time.

### AMOUNT OF FUNDING AVAILABLE

More than \$2.5 Million in funding is expected to be awarded for the CY 2021 AFDO-Managed Retail Program Standards Grant Program.

## Funding Categories & Approximate Number of Grants per Category

**Applicants to the AFDO-Managed Retail Program Standards Grant Program are expected to show progress in implementing program standards, ultimately leading to self-assessments and verification audits showing program standards have been met.**

As a reminder, FDA encourages all applicants to the AFDO-Managed Retail Program Standards Grant Program to use this program to achieve the following milestones as they seek to complete all nine of the Retail Program Standards:

- Complete/Update a Self-Assessment of all Nine Standards once every five years (Category 1 Self-Assessment Subawards)
- Meet each of the nine Standards, and complete Verification Audits for all nine standards (Category 1 Fixed Amount Subawards, Category 1 Custom Project Subawards)
- Meet more complex and resource-intensive needs that lead to meeting and auditing standards using Category 2 Moderate Projects, including the following CY 2021 projects types:
  - Completion of a Risk Factor Baseline Study or equivalent public health measure with a written summary of the data analysis, or evaluation of inspection data with written summary of data analysis.
  - Development and implementation of an intervention strategy that is based on a completed Risk Factor Study or equivalent public health measure.
  - Projects that complete a Risk Factor Study and/or Intervention Strategies as needed, and that lead to completion of Standard 9 (including submission of a Verification Audit).
- Utilize Category 3 Training Subawards to meet and maintain compliance with Standard 2.
- Utilize Category 4 Food Protection Task Force Projects to meet and maintain compliance with Standards 5 and/or 7.
- Consider utilizing the other FDA-funded Retail Program Standards Grant Programs (multi-year awards managed by FDA, Mentorship awards managed by NACCHO) to assure progress in meeting all nine of the Retail Program Standards.

Funds may 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 complete more ambitious projects that help further conformance with the Retail Program Standards. Example projects include 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, 2016 or later).

To encourage projects that help jurisdictions make progress conforming to the Retail Program Standards, the following project types are suggested as recommendations for CY 2021 funding:

- Completion of a Risk Factor Baseline Study or equivalent public health measure with a written summary of the data analysis, or evaluation of inspection data with written summary of data analysis.
- Development and implementation of an intervention strategy that is based on a completed Risk Factor Study or equivalent public health measure.
- Projects that complete a Risk Factor Study and/or Intervention Strategies as needed, and that lead to completion of Standard 9 (including submission of a Verification Audit).

### 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 that helps them meet the requirements of Standard 2 (*Step 1 & 3 Curriculum or CEU maintenance*) or to attend FDA Regional Seminars to maintain FDA Standardization.

\* \$3,000 does not apply to AK, HI, and Territories if justification for additional costs is provided.

### 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 assisting more jurisdictions to become involved with existing statewide Food Protection Task Force activities (or similar Food Advisory Board/Council activities, whether the Task Force/Board/Council is supported by an FDA grant or not). Allowed activities under this category include planning costs and/or travel funds to encourage local, tribal, and territorial jurisdictions to attend Task Force meetings, sponsored trainings, workshops, tabletop exercises and mentorship activities. Additionally, a successful application 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).

For a list of eligible Task Forces that can be supported by Category 4 Subawards, please use the following link: [https://foodsafetygrants.org/rs/documents/2020\\_FPTF.xlsx](https://foodsafetygrants.org/rs/documents/2020_FPTF.xlsx)



## 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

Travel awards should be directly related to meeting Standard 2, maintenance/conformance of Standard 2, or another Standard (with a clear explanation provided). The application must clearly explain this relationship. 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.

**SUGGESTED TRAINING FOR CY 2021, WITH THE EXPECTATION OF CONTINUED COVID-19 TRAVEL LIMITATIONS:** Given that a significant number of face-to-face courses and seminars for CY 2021 have already been cancelled, please consider the following suggestions for eligible CY 2021 Category 3 Training requests:

- Any courses or seminars that meet the Category 3 Training criteria listed above, and that have published dates for CY 2021, will be considered eligible – please include the status of the course or seminar in your application.
- According to the latest information available, the five (5) FDA Retail Food Safety Seminars are being planned for CY 2021 – please feel free to include in your application.
- FDA is open to considering alternative web-based training for CY 2021 (**reimbursement of materials and registration fees only**), provided it is retail-focused and includes a strong justification that supports compliance with the Retail Program Standards.
- Requests for in-state training and/or staff training meetings, university-based online courses, and other types of training will be considered, when adequate justification is provided describing how the alternate training(s) will support conformance with the Retail Program Standards.
- **Important Note on Retail training courses provided by the FDA Office of Training Education and Development (OTED):** According to the latest information available, FDA does not plan to offer face-to-face Retail courses through September 2021, and possibly through December 2021. Unless updated information is released before the close of the application portal in October confirming CY 2021 face-to-face deliveries, please do not include any of the FDA Retail courses in your application (FD 112, FD 204, FD 207, FD 215, FD 218, and FD 312).

*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 online or live training.*

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

Include, but are not limited to:

- Planning costs (contracts, equipment, supplies, travel, etc.) that support outreach and jurisdictional involvement for Task Force trainings, workshops, tabletop exercises and/or mentorship activities that support Food Protection Task Force activities, or
- Travel funds (for a speaker, participants that require travel reimbursement to attend an event, or both) for Task Force meetings, sponsored trainings, workshops, tabletop exercises and mentorship activities that support Food Protection Task Force activities.

Applications in this category must be for activities tied to Food Protection Task Force activities (or similar Advisory Boards or Councils, whether the Task Force/Board/Council is supported by an FDA grant or not). A successful application 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*).

*Note: Category 4 funds may not 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.

### PROJECT IDEAS ONLINE

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, and Conditions

### ALLOWABLE COSTS

Allowable costs include training costs, travel costs, 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

Certain expenses and costs are not allowable under the AFDO-Managed Retail Program Standards Grant Program. Please note the following restrictions:

- Vehicles: Costs associated with procurement of vehicles are not allowed.
- Construction: Costs for construction and/or remodeling of physical structures are not allowed.
- Food: Expenses for food, snacks, meals, and catering (other than per diem for travelers) are not permitted for any grant.
- Personnel: Personnel costs associated with training are not permitted. For all Category 3 and 4 projects, personnel costs are not permitted. For training components within Category 1 and 2 projects, personnel costs associated with training components 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.
- Funds may not be used to fund attendance at the Conference for Food Protection (CFP).
- 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.
- Other Agreements, Grants, & Funding Sources: 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.
- Promotional items and costs are generally prohibited unless they provide a direct food safety benefit. Examples of prohibited items: gift bags, logo items (pens, notepads, shirts, hats), gift cards, etc.

### 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 VNRFRPS (also referred to in this document as the *Retail Program Standards*) or to achieve progress toward VNRFRPS milestones and/or Standards.

2. Jurisdictions must be enrolled in the VNRFPRS to apply. To enroll in the VNRFPRS, 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 13, 2020 to qualify for 2021 calendar year funding.
3. Jurisdictions that applied for funding and/or were awarded funding during previous grant cycles are eligible to apply for up to four (4) grants (one project in each of the four categories) during the Calendar Year 2021 grant cycle.
4. 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 2021 funding cycle (Application Period of September 2 – October 13, 2020). 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.
5. 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.
6. Category Specific Program Rules:
  - 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”):
    - i. Are only eligible if the jurisdiction has not conducted a Self-Assessment of all nine Standards within the previous four years (i.e. January 1, 2017 or later).
    - ii. Jurisdictions may only 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” once every five years.
  - b. All other Category 1 Small Project grants (Verifications Audits, Custom Projects) must have completed a Self-Assessment of all nine Standards within the previous five years (i.e. January 1, 2016 or later).
  - c. 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, 2016 or later).
  - d. Applicants for Category 3 funding may not include additional individual training as part of a Category 1 or Category 2 application.
  - e. Applications for Category 4 funding must support Food Protections Task Force activities (or similar Advisory Boards or Councils, whether the Task Force/Board/Council is supported by an FDA grant or not).
7. 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 (unless your agency has a different and required per diem policy). The General Services Agency (GSA) Meals and Incidental Expenses (M&IE) breakdown may be accessed at <http://www.gsa.gov/portal/content/101518>.
  - b. 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.
  - c. 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.
  - d. Air travel is to be taken by the most economical domestic 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.
8. Expectations for training requested in any grant Category (1, 2, 3, 4):
- a. Funded training participants should plan to complete all course prerequisites and pre-course materials as required for each funded course.
  - b. Travel plans (including flights) should be scheduled to allow participants to arrive on-time for each day of the course, and to stay through the stated course end-time on the last day.
  - c. Participants are expected to fully participate in each course and achieve successful completion of all funded courses.
  - d. When Travel Goes Bad - When a participant does not attend or successfully complete a funded course, reimbursement for travel expenses will be evaluated on a case-by-case basis. States may be responsible for travel costs when a participant:
    - i. Does not meet course prerequisites or complete pre-course assignments;
    - ii. Arrives late for a course without prior permission and/or acceptable justification;
    - iii. Does not fulfill all course requirements or fails to achieve satisfactory completion of a course; or
    - iv. Leaves early without permission granted in advance by the course lead.
  - e. Travel reimbursement will likely be made for circumstances beyond a participant’s control, including:

- i. Weather
    - ii. Canceled or delayed flights
    - iii. Illness
    - iv. Emergencies (when approved by the course lead)
  - f. Late arrivals for FDA courses will be evaluated on a case-by-case basis by the course lead. When necessary, efforts to reschedule will be made for situations outside a participants control.
  - g. Who to Contact: If you anticipate any problems that will impact attendance at (or completion of) a funded course, please contact the AFDO grants management team at [retailstandards@afdo.org](mailto:retailstandards@afdo.org) as early as is practical. We will work with FDA to resolve any issues in a timely manner.
9. Grant funds may not be used to fund attendance at the Conference for Food Protection (CFP).
  10. 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 <https://foodsafetygrants.org/retailstandards/browsers/>
  11. When completing the online application, any character count restrictions include spaces.
  12. All applications must be made through the online portal, <https://retailstandards.fluxx.io>, by October 13, 2020 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 grant management 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 each successful submittal of an application. If you do not receive an automated email upon submission, please check your Spam email folders. If you cannot find the automated email, please contact the AFDO-Managed Retail Program Standards Grants Management Team at 850-583-4593 or [retailstandards@afdo.org](mailto:retailstandards@afdo.org) before the application deadline.
  - a. Applications received by the deadline will undergo an administrative review.
  - b. Applications that pass the administrative review will move to the proposal-scoring phase.
  - c. Applications which are not in compliance with the Program Rules and Requirements will not move forward.
  - d. 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.
2. **Category 1 Fixed-Reimbursement Applications** (Self-Assessments, Verification Audits) will be reviewed for eligibility, and all eligible applications will be funded, as funding permits.
  - a. This Category includes four (4) project sub-types:
    - i. Completion of a Self-Assessment of All Nine Standards,
    - ii. Completion of an Updated Self-Assessment of all Nine Standards,
    - iii. Completion of a Verification Audit for One Standard, and
    - iv. Completion of a Verification Audit for Two or More Standards.
  - b. 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 four years (i.e. January 1, 2017 or later). Additionally, jurisdictions are only eligible to receive funding for Category 1 Self-Assessment projects through this grant program once every five years.
  - c. Applicants for Category 1 Verification Audit projects (“Completion of Verification Audit for One Standard” or “Completion of Verification Audit for Two or More Standards”) must have conducted a Self-Assessment of all nine Program Standards within the previous five years (i.e. January 1, 2016 or later).
3. **For all other Grant Categories (Category 1 Custom Projects and Category 2, 3 and 4 Projects)**, eligible applications will be scored by up to three (3) reviewers, and the top-scoring eligible proposals will be funded.

- a. Proposals for Category 1 Custom Projects and for Category 2, 3, 4 projects will be scored using eight (8) review questions, with each question receiving a maximum of five (5) points. Projects will receive a maximum of forty (40) points, based on the following scale:
- 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 the requested information.
  - 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.
  - 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.
  - 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.
  - One (1) representing answers that show the project (or training) is not in alignment with the goals of the Retail Program Standards.
- b. Category 1 Custom Projects and Category 2, 3 and 4 Projects will be scored using the following review questions:
- i. **Category 1 Custom Projects and Category 2 Projects**
    1. 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?
    2. 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?
    3. Do the identified project personnel have clearly defined project roles?
    4. Do the project personnel have the expertise necessary to enable successful completion of the proposed project?
    5. Are the project outcomes clearly identified and likely to achieve greater conformance with the Retail Program Standards?
    6. Are the project outcomes measurable and achievable?

7. Are the identified resources realistic and necessary for successful completion of the project, and are costs reasonable and appropriate?
8. Looking at all fields from the application, how likely is this project to succeed and advance the goals of the Retail Program Standards?

**ii. Category 3: Training Projects**

1. Based on the information presented in the Project Information section of the application, do you think this training will enhance the jurisdiction's conformance with the Retail Program Standards?
2. Are the details provided for the proposed training clear and complete?
3. Are the training objectives aligned with the goals of the Retail Program Standards, and are they realistically achievable within the funding period?
4. Are the listed personnel appropriate choices to attend the training?
5. As a result of this training, how likely are the identified personnel to advance conformance of the Retail Program Standards?
6. Is enough detail provided in the Budget Narrative and the Budget Worksheet to provide a clear picture of how funds will be spent?
7. Are the identified resources realistic and necessary for successful completion of the project, and are costs reasonable and appropriate?
8. Looking at all fields from the application, how likely is this training project to succeed and advance the goals of the Retail Program Standards?

**iii. Category 4: Food Protection Task Force Support Projects**

1. Are the meeting topics for this Food Protection Task Force event aligned with the goals of the Retail Program Standards?
2. Are the details of the proposed Food Protection Task Force meeting or event clear and complete?
3. Are the listed personnel appropriate choices to attend the Food Protection Task Force meeting or event?

4. 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?
  5. Are the project outcomes clearly identified and likely to achieve greater conformance with Retail Program Standards?
  6. Are the project outcomes measurable and achievable?
  7. Are the identified resources realistic and necessary for successful completion of the project, and are costs reasonable and appropriate?
  8. Looking at all fields from the application, how likely is this project to succeed and advance the goals of the Retail Program Standards?
4. The FDA Joint Advisory Group has discretion when making award decisions and can approve changes to number of reviewers or reviews, funding amount, priority, project period, and other aspects of subawards to ensure this funding program meets the FDA's intended goals. Final Award decisions are made by the FDA Project Officer for the FDA Cooperative Agreement that funds this program.
  5. Applications not awarded will be notified via email.

## Reporting Requirements

As with applications, an online process is used for project reporting 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 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 REQUIREMENTS (FOR CATEGORY 2 MODERATE PROJECTS ONLY)

An Interim Report (for Category 2 Moderate Projects only) is due no later than June 30, 2021. 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-Managed 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 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-Managed 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, 2015, 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: <https://www.fda.gov/food/voluntary-national-retail-food-regulatory-program-standards/directory-fda-retail-food-specialists>.
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 <https://foodsafetygrants.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 13, 2020 7:59 PM Eastern Time deadline and wait for funding determination (approximately 6 weeks after the grant program deadline).

## Step-by-Step Application Guidance

### 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 13, 2020) and your application can be moved back to the “Draft” state.

### STEP 1 – ELIGIBILITY QUESTIONNAIRE

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).

## 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.”

## STEP 3 – RECEIVE YOUR USERNAME AND PASSWORD

Within two (2) 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, click “Apply Now” from the menu on the left side of the screen. Then select one of the following four categories to begin the application:

- **Apply Category 1- Small Projects**
- **Apply Category 2- Moderate Projects**
- **Apply Category 3- Training Projects**
- **Apply Category 4- Food Protection Task Force Support Projects**

After selecting a grant category, you may begin entering all required information. For certain sections, the required information varies depending on the selected category.



#### 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**”.

Before leaving the Application Portal, allow your screen to refresh (you may have to click on one or more “Update Available” pop-ups), and assure your application moves from the “Draft Applications” section of the Portal to the “Submitted for Review” section. You should also receive a system generated email confirming the submittal of each application, shortly after it is submitted (if you do not receive a confirming email, please check your email SPAM folder).

If you do not receive confirmation of your submission, please contact the AFDO-Managed Retail Program Standards Grants Management Team at 850-583-4593 or [retailstandards@afdo.org](mailto:retailstandards@afdo.org), before the end date of the open application period.

## Appendix A - Important Web Links

AFDO-MANAGED RETAIL 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 – <https://www.fda.gov/food/voluntary-national-retail-food-regulatory-program-standards/voluntary-national-retail-food-regulatory-program-standards-november-2019>

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].

ENROLLING IN THE RETAIL PROGRAM STANDARDS –

<http://foodsafetygrants.org/retailstandards/enroll/>

If your jurisdiction is not already registered, visit this site to register your jurisdiction in the FDA Retail Program Standards. Registration is required to be eligible for this grant program.

FDA RETAIL FOOD SPECIALISTS – <https://www.fda.gov/food/voluntary-national-retail-food-regulatory-program-standards/directory-fda-retail-food-specialists>

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 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 2, 2020 until 7:59 PM ET on October 13, 2020. This portal can also be reached through the FDA & AFDO-Managed Retail Program Standards Grants homepage.

DOWNLOAD A MODERN BROWSER – <https://foodsafetygrants.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 – <https://foodsafetygrants.org/retailstandards/ideas/>

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

## Appendix B – VNRFRPS: Standards & Elements for all Nine (9) Program Standards (November 2019 update)

The following includes a complete list of each *Retail Program Standards* Program Standard and Element, with corresponding descriptions. For additional information related to the FDA Retail Program Standards, please reference <https://www.fda.gov/food/voluntary-national-retail-food-regulatory-program-standards/voluntary-national-retail-food-regulatory-program-standards-november-2019>.

STANDARD 1 – REGULATORY FOUNDATION
<b>1. Assessment of the Program's Regulatory Foundation</b>
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.
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
c) The regulatory foundation assessment clearly identifies the jurisdiction's 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.
<b>2. Food Code Interventions and Risk Factors</b>
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 indicates that the agency's regulatory requirements contain all 11 of the FDA Food Code intervention and risk factor controls. <b>Part I - Self-Assessment Worksheet Part I - Verification Audit Worksheet</b>
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. <i>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.</i>
<b>3. Good Retail Practices</b>
a) The jurisdiction's Food Code assessment indicates that regulatory requirements contain at least 95 percent of the FDA Food Code Good Retail Practices Sections. <i>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.</i> Documentation from: <b>Part II - Self-Assessment Worksheet Part II - Verification Audit Worksheet</b>

<p><b>4. Compliance and Enforcement</b></p> <p>a) The jurisdiction's Food Code assessment indicates that regulatory requirements contain ALL the FDA Food Code Compliance and Enforcement Sections identified in the Standard. <i>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.</i> Documentation from: <b>Part III - Self Assessment Worksheet Part III - Verification Audit Worksheet</b></p>
<p><b>STANDARD 2 – TRAINED REGULATORY STAFF</b></p>
<p><b>1. Employee Training Records</b></p> <p>a) The jurisdiction maintains a written training record for each employee that includes the date or hire or assignment to the agency's retail food protection program.</p> <p>b) The jurisdiction written training record provides documentation that each employee has completed the Standard 2 prerequisite ("Pre") training curriculum PRIOR to conducting independent retail food or foodservice inspections.</p>
<p><b>2. Initial Field Training</b></p> <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 retail food or foodservice inspections.</p> <p>b) The jurisdiction maintains a written training record that provides confirmation that each employee successfully completed a field training process similar to that contained 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>
<p><b>3. Independent Inspections / Completion of ALL Curriculum Requirements</b></p> <p>a) The jurisdiction maintains a written training record that provides confirmation that each employee completed a minimum of 25 independent retail food and/or foodservice inspections PRIOR to field standardization.</p> <p>b) The jurisdiction's 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.</p>
<p><b>4. Field Standardization</b></p> <p>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.</p> <p>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.</p>

<b>5. Continuing Education and Training</b>
a) The jurisdiction maintains a written training record that provides document 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.
<b>STANDARD 3 – INSPECTION PROGRAM BASED ON HACCP PRINCIPLES</b>
<b>1. Inspection Form Design</b>
a) The jurisdiction’s inspection form identifies foodborne illness risk factors and Food Code interventions.
b) The jurisdiction’s inspection form documents actual observations using the convention IN, OUT, NA, and NO.
c) The jurisdiction’s inspection form documents compliance and enforcement activities.
<b>2. Risk Assessment Categories</b>
a) A risk assessment is used to group food establishments into at least 3 categories based on their potential and inherent food safety risks.
<b>3. Inspection Frequency</b>
a) The jurisdiction’s inspection frequency is based on the assigned risk categories.
<b>4. Written and Implemented Corrective Action Policy</b>
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.
b) The jurisdiction has a written and implemented policy that requires discussion for long-term control of foodborne illness risk factors.
c) The jurisdiction has a written and implemented policy that requires follow-up activities on foodborne illness risk factor violations.
<b>5. Variance Requests</b>
a) The jurisdiction has a written and implemented policy on variance requests related to foodborne illness risk factors and Food Code interventions.
<b>6. Verification and Validation of HACCP Plans</b>
a) The jurisdiction has a written and implemented policy for the verification and validation of HACCP plans, when a HACCP plan is required by the Code.
<b>STANDARD 4 – UNIFORM INSPECTION PROGRAM</b>
<b>1. Written Quality Assurance Program Document</b>
a. The jurisdiction has a written quality assurance program that covers all regulatory staff that conducts retail food and/ or foodservice inspections.
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 twenty quality elements.

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. Twenty Quality Assurance Program Elements The jurisdictions quality assurance program provides a method to review or monitor, either individually or programmatically, the concepts in the twenty quality elements. The twenty elements follow in I. through XX.**

I. The jurisdiction’s quality assurance program assures that each inspector has the required equipment and forms to conduct the inspection.

II. The jurisdiction’s quality assurance program assures that each inspector reviews the contents of the establishment file, including the previous inspection report, reported complaints on file, and, if applicable, required HACCP Plans or documents supporting the issuance of a variance.

III. 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, Informs the supervisor when the establishment is not in the proper risk category or when frequency is not met.

IV. The jurisdiction’s quality assurance program assures that each inspector provides identification as a regulatory official to the person in charge and states the purpose of the visit.

V. The jurisdiction’s quality assurance program assures that each inspector interprets and applies the jurisdiction’s laws, rules, policies, procedures, and regulations required for conducting retail food inspections.

VI. The jurisdiction’s quality assurance program assures that each inspector uses a risk-based inspection methodology to conduct the inspection.

VII. The jurisdiction’s quality assurance program assures that each inspector accurately determines the compliance status of each risk factor and Food Code intervention (i.e., IN compliance, OUT of compliance, Not Observed, or Not Applicable).

VIII. The jurisdiction’s quality assurance program assures that each inspector obtains corrective action for out-of-compliance risk factors and Food Code interventions in accordance with the jurisdictions policies.

IX. The jurisdiction’s quality assurance program assures that each inspector discusses options for the long-term control of risk factors with establishment managers when the same out-of-control risk factor occurs on consecutive inspections, in accordance with the jurisdiction’s policies. Options may include, but are not limited to, risk control plans, standard operating procedures, equipment and/or facility modification, menu modification, buyer specifications, remedial training, or HACCP Plans.

X. The jurisdiction’s quality assurance program assures that each inspector verifies correction of out-of-compliance observations identified during the previous inspection. In addition, follows through with compliance and enforcement in accordance with jurisdiction’s policies.

XI. The jurisdiction’s quality assurance program assures that each inspector conducts an exit interview that explains the out-of-compliance observations, corrective actions, and timeframes for correction, in accordance with the jurisdiction’s policies.
XII. The jurisdiction’s quality assurance program assures that each inspector provides the inspection report and, when necessary, cross-referenced documents, to the person in charge or permit holder, in accordance with the jurisdiction’s policies.
XIII. The jurisdiction’s quality assurance program assures that each inspector demonstrates proper sanitary practices as expected from a food service employee.
XIV. The jurisdiction’s quality assurance program assures that each inspector completed the inspection form per the jurisdiction’s policies (i.e., observations, public health reasons, applicable code reference, compliance dates).
XV. The jurisdiction’s quality assurance program assures that each inspector document the status of each risk factor and intervention (IN, OUT, NA, NO).
XVI. The jurisdiction’s quality assurance program assures that each inspector cites the proper code provisions for risk factors and Food Code interventions, in accordance with the jurisdiction’s policies.
XVII. The jurisdiction’s quality assurance program assures that each inspector documents corrective action for out-of-compliance risk factors and Food Code interventions in accordance with the jurisdiction’s policies.
XVIII. The jurisdiction’s quality assurance program assures that each inspector documents that options for the long-term control of risk factors were discussed with establishment managers when the same out-of-control risk factor occurs on consecutive inspections. Options may include, but are not limited to, risk control plans, standard operating procedures, equipment and/or facility modification, menu modification, buyer specifications, remedial training, or HACCP Plans.
XIX. The jurisdiction’s quality assurance program assures that each inspector accurately completes compliance or regulatory documents (i.e., exhibits, attachments, sample forms), appropriately cross-references them within the inspection report, and includes them with the inspection report, in accordance with the jurisdiction’s policies.
XX. The jurisdiction’s quality assurance program assures that each inspector files reports and other documentation in a timely manner, in accordance with the jurisdiction’s policies.
<b>3. Demonstration of Program Effectiveness Using the Statistical Method in Standard 4: Self-Assessment Worksheet</b>
a. The program effectiveness measure documents that 3 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.]

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.

**STANDARD 5 – FOODBORNE ILLNESS AND FOOD DEFENSE PREPAREDNESS AND RESPONSE**

**1. Investigation Procedures**

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.)

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.

c) The program maintains a written operating procedure or a Memorandum of Understand (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.

d) The program maintains logs or databases for all complaint or referral reports from other sources alleging food-related illness, food-related injury, or unintentional food contamination. The final disposition for each complaint is recorded in the database or log and is filed in, or linked to, the establishment record for retrieval purposes.

e) Program procedures describe the disposition, action, or follow-up and reporting required for each type of complaint or referral report.

f) Program procedures require disposition, action or follow-up on each complaint or referral report alleging food-related illness or injury within 24 hours.

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.

h) Program procedures provide guidance for immediate notification of appropriate law enforcement agencies if at any time intentional food contamination is suspected.

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.

**2. Reporting Procedures**

a) Possible contributing factors to the illness, food-related injury, or intentional food contamination are identified in each on-site investigation report.

b) The program shares final reports of investigations with the state epidemiologist and reports of confirmed disease outbreaks with CDC.



<p><b>3. Laboratory Support Documentation</b></p> <p>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.</p> <p>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) identified 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).</p>
<p><b>4. Trace-Back Procedures</b></p> <p>a) Program management has an established procedure to address the trace-back of foods implicated in an illness, outbreak or intentional food contamination. The trace- -back 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.</p>
<p><b>5. Recalls</b></p> <p>a) Program management has an established procedure to address the recall of foods implicated in an illness, outbreak, or intentional food contamination.</p> <p>b) When the jurisdiction has the responsibility to request or monitor a product recall, written procedures equivalent to 21 CFR Part 7 are followed.</p> <p>c) Written policies and procedures exist for verifying the effectiveness of recall actions by firms (effectiveness checks) when requested by another agency.</p>
<p><b>6. Media Management</b></p> <p>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 protocol should address coordination and cooperation with other agencies involved in the investigation. A media person is designated in the protocol.</p>
<p><b>7. Data Review and Analysis</b></p> <p>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 may suggest steps for illness prevention.</p> <p>b) The review is conducted with prevention in mind and focuses on, but is not limited to, the following:</p> <ol style="list-style-type: none"> <li>1) Multiple complaints on the same establishment;</li> <li>2) Multiple complaints on the same establishment type;</li> <li>3) Multiple complaints implicating the same food;</li> </ol>

4) Multiple complaints associated with similar food preparation processes;
5) Number of confirmed foodborne disease outbreaks;
6) Number of foodborne disease outbreaks and suspect foodborne disease outbreaks;
7) Contributing factors most often identified;
8) Number of complaints involving real and alleged threats of intentional food contamination.
9) Number of complaints involving the same agent and any complaints involving unusual agents when agents are identified.
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.
<b>STANDARD 6 – COMPLIANCE AND ENFORCEMENT</b>
<b>1. Compliance and Enforcement Procedure</b>
a) The jurisdiction has a written step-by-step compliance and enforcement procedure that describes what actions and tools (i.e. forms, documents, interventions) are to be used to achieve compliance.
b) The jurisdiction's inspection form(s) record and quantify the compliance status of foodborne illness risk factors, Food Code interventions and other serious code violations.
<b>2. Assessment of Effectiveness</b>
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.
b) The jurisdiction has written documentation verifying that at least 80% 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.
<b>STANDARD 7 – INDUSTRY AND COMMUNITY RELATIONS</b>
<b>1. Industry and Consumer Interaction</b>
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 / committees, customer surveys, web-based meetings or forums. Documentation confirms that offers of participation have been extended to industry and consumer representatives.

<p><b>2. Educational Outreach</b></p> <p>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. Educational 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, and use of oral culture learner materials.</p>
<p><b>STANDARD 8 – PROGRAM SUPPORT AND RESOURCES</b></p>
<p><b>1. Staffing Level - FTE's per Inspections Performed</b></p> <p>a) The jurisdiction has written documentation, calculations, or a program resource assessment that demonstrates a staffing level of one FTE for every 280-320 retail food program inspections performed.</p>
<p><b>2. Inspection Equipment</b></p> <p>a) The jurisdiction can show through written records, equipment inventories, or actual observations that each retail food program inspector has a head cover, thermocouple, flashlight, sanitization test kit, heat sensitive tapes or maximum registering thermometer, and necessary forms and administrative materials.</p> <p>b) The jurisdiction has written procedures for obtaining the use of computers, cameras, black lights, pH meters, foodborne illness kits, sample collection kits, data loggers, and cell phones should this equipment not be part of the agency's general inventory.</p>
<p><b>3. Administrative Program Support</b></p> <p>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.</p> <p>b) The jurisdiction has a system in place to collect, analyze, retain, and report pertinent information required to manage and implement the program.</p>
<p><b>4. Program Resource Assessment</b></p> <p>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.</p> <p>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.</p> <p>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.</p> <p>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.</p> <p>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.</p>

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.

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.

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.

**STANDARD 9 – PROGRAM ASSESSMENT**

**1. Risk Factor Study**

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.

b) The data collection form includes items pertaining to the following Center for Disease Control and Prevention (CDC) identified contributing factors to foodborne illness.

1. Food from Unsafe Sources;

2. Improper Holding/Time and Temperature;

3. Inadequate Cooking;

4. Poor Personal Hygiene; and

5. Contaminated equipment / Protection from contamination.

c) The data collection form provides for marking actual observations of food practices within an establishment (IN, OUT, NO, and NA).

**2. Report of Analysis and Outcome**

a) A report is available that shows the results of the data collection from the jurisdiction's foodborne illness risk factor study.

b) The report provides quantitative measurements upon which to assess the trends in the occurrence of foodborne illness risk factors over time.

**3. Intervention Strategy**

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.

b) Documentation is provided of performed interventions, action, or activities designed to improve control of foodborne illness risk factors.