

NC Quality Assurance for Food Protection Programs

Welcome!

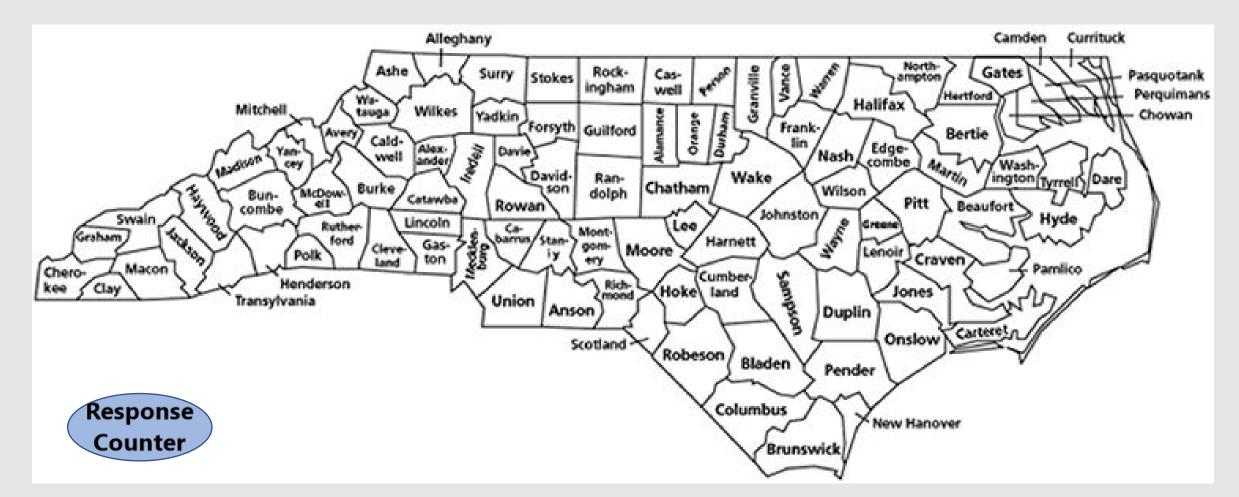


Before We Get Started

- Please keep your microphone muted during the presentation unless you are called upon by the instructor or have a question.
- Please use the chat box on the right-side of your screen if you have questions during the course.
- A chat monitor will write down the questions and make sure they get answered.
- We will be using Turning Point for this presentation, so please have your device ready.



Click on the county where you work.



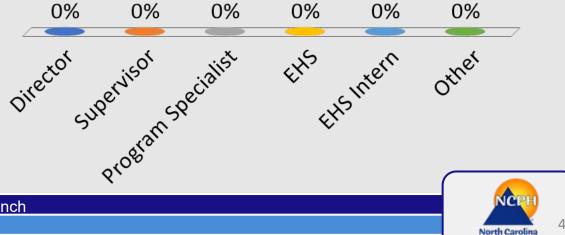
Division of Public Health, Food Protection and Facilities Branch

North Carolina Department of Health and Human Services



What is your current job title?

- A. Director
- B. Supervisor
- C. Program Specialist
- D. EHS
- E. EHS Intern
- F. Other



Public Health

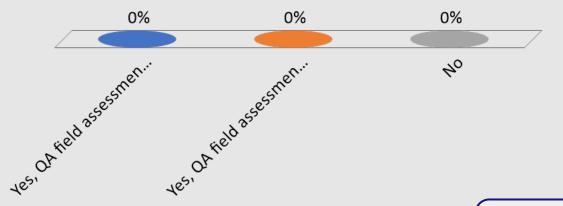


Division of Public Health, Food Protection and Facilities Branch

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Are you responsible for QA in your county or district?

- A. Yes, QA field assessments& file review
- B. Yes, QA field assessments only
- C. No









Overview

- Introduction
- QA & Prioritization Policies
- QA Field Assessments
- QA File Review
- Staffing Level Assessment Tool (SLAT)
- Accreditation
- Summary



What is the NC Quality Assurance Program?

- DHHS implemented a Quality Assurance (QA) program in July 2019
- Provides a tool for use by counties and districts to promote quality work among FLI staff through:
 - Field Assessments
 - File Review
 - Training
 - Assessing staff levels
- Goal is to obtain consistency across the State
- Ensure rules and regulations are properly enforced and documented







Where Are We Now?

- Some counties have adopted the new QA policy & Prioritization policy templates provided by DHHS
- Some counties are continuing to use their own individual policies (with the addition of the new Prioritization policy)
- Some counties are still using QA policies that do not meet the new State recommendations
- COVID-19 has presented challenges for counties and the State to complete QA activities





What's Next?

- QA program rollout has been extended for another year
- QA evaluation period is now <u>May 1-April 30</u>
- Counties need to work on adopting QA & Prioritization policies
- Leaders need to plan ahead for QA procedures in their programs:
 - Who will conduct QA field assessments & file reviews?
 - What type of review will be used (leader, peer, regional)?
 - How many staff members need to be assessed?
 - How many staff members need to be standardized?
 - Timeline for field and file assessments.



QA Policy Components

- The QA policy should consist of:
 - Purpose & statement of policy
 - Prioritization Policy
 - QA field assessment requirements
 - QA file review requirements
 - Training & remediation (when needed)
 - Staffing Level Assessment Tool (SLAT)
 - Grievance policy

Any County Health Department

Title: NC Quality Assurance Policy	Policy Number: 001-032-01
Approved by:	Program Area(s): Environmental Health
Dr.Bea Healthy	Food, Lodging & Institutions Program
Health Director	
Ima Supervísor	
Environmental Health Director/Supervisor/Designee	
Effective Date: 7/1/2020	Revised Date: 5/20/2020

I. <u>Purpose:</u>

The purpose of this policy is to provide a quality assurance protocol that is administered to ensure uniform assessment and evaluation of the level of compliance of local Food, Lodging, and Institutions (FLI) programs with state laws and rules. This includes procedures for prioritizing workload, maintaining a staffing level assessment, and implementing a quality assurance plan.

II. <u>Policy:</u>

To account for consistency and quality within the local health department's FLI program, and as part of the Agreement Addendum, the local health department shall maintain an internal quality assurance plan.



Prioritization Policy

- Prioritizes workload when there are insufficient resources to complete all mandated inspections per 15A NCAC .0213
- HSP's and facilities with specialized food processes inspected at 100%
- All other establishments miss no more than one grading period per fiscal year
- Category IV takes priority
- Other factors can be considered

Any County Health Department

Purpose: The purpose of this policy is to provide instruction on how to prioritize the frequency of Food and Lodging inspections in the event of a staffing shortage. The Any County Environmental Health program will utilize this policy to maintain the statewide inspection prioritization standard. **Policy:**

- Definitions:
 - **A.** *Risk Frequency* means the minimum number of inspections to be performed in the required time allotment of a fiscal year. Risk Frequency takes into consideration population served, specialized food processes, handling of raw foods, and any multi-step/stage cooking and cooling methods.
 - B. Highly Susceptible Population (HSP) means persons who are more likely than other people in the general population to experience foodborne disease because they are: (1) immunocompromised; preschool age children, or older adults; and (2) obtaining food at a facility that provides services such as custodial care, health care, or assisted living, such as a child or adult day care center, kidney dialysis center, hospital or nursing home, or nutritional/socialization services such as a senior center.

II. Responsibilities:

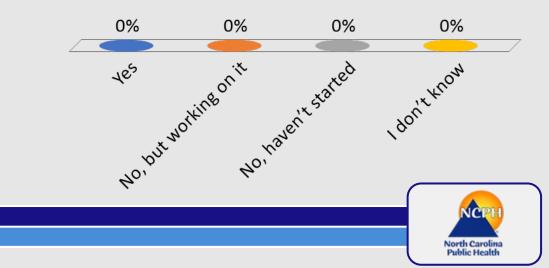
- A. The Environmental Health Supervisor, or their designee, will be responsible for assigning work priorities to assure inspections are made using the procedures/criteria set forth in this policy.
- III. Procedures:
 - A. The following procedures shall be used in assigning a risk frequency of inspection to a facility:
 - The Registered Environmental Health Specialist (REHS) shall perform a menu review/review of food handling procedures during a routine sanitation inspection.



Has your county or district adopted a QA policy with the components we just discussed?

A. Yes

- B. No, but working on it
- C. No, haven't started
- D. I don't know





Tools for QA Programs

- NC Quality Assurance & File Review Workbook (Excel)
- Individual Field Assessment & File Review Forms (Excel or PDF)
- SLAT forms for county data (Excel)

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QA Field Assessments

- At least <u>2</u> QA field assessments conducted per QA evaluation period for each REHS conducting routine inspections in the FLI program
- Standardization fieldwork can be used in lieu of QA Field Assessments
- Assessment is based on the QA Marking Instructions
- Findings are documented in the NC Quality Assurance & File Review Workbook
- Assessments can be leader review, peer review, or regional review depending on the staff in the county or district



Types of QA Field Assessments

- <u>Regional Review</u>: If the county/district has 2 or less REHS, the Regional Specialist may complete the QA Field Assessments.
 - If one REHS is a supervisor, Leader Review could be used.
- If the county/district has 3 or more REHS, the county/district has the option to either have Leader Review or Peer Review.





Leader Review vs. Peer Review

- <u>Leader Review</u>: The county/district has at least 1 designated leader (supervisor or designee). The leader(s) will complete QA Field Assessments for each REHS in the FLI program. The Regional Specialist will complete QA Field Assessments for each leader.
- <u>Peer Review</u>: The county/district may choose to allow <u>1 of the 2</u> required QA Field Assessments to be completed among peers within a program. The second QA Field Assessment must be completed by a designated QA leader.



What type of QA Field Assessment does your county or district use?

- A. Regional Review
- B. Leader Review
- C. Peer Review
- D. I don't know

****Choose all that apply.**







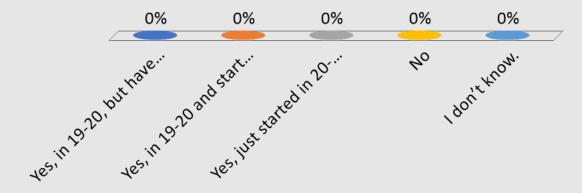
Has your county or district conducted QA Field Assessments?

- A. Yes, in 19-20, but haven't started in 20-21.
- B. Yes, in 19-20 and started in 20-21.
- C. Yes, just started in 20-21 (none in 19-20).
- D. No

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E. I don't know.







Before you begin...

- Know how to conduct a riskbased inspection.
- Read Annex 5 of the FDA Food Code: *Conducting Risk-Based Inspections* (p. 589)
- Read and understand the NC Quality Assurance Field Assessment Marking Instructions
- Ask questions

Conducting Risk-Based Inspections

- 1. PURPOSE AND SCOPE
- 2. RISK-BASED ROUTINE INSPECTIONS
- 3. WHAT IS NEEDED TO PROPERLY CONDUCT A RISK-BASED INSPECTION?
- 4. RISK-BASED INSPECTION METHODOLOGY
- 5. ACHIEVING ON-SITE AND LONG-TERM COMPLIANCE
- 6. INSPECTION FORM AND SCORING
- 7. CLOSING CONFERENCE
- 8. SUMMARY

Annex



Which of the courses below have you taken?

- A. FDA 218-Risk Based Inspections
- B. CIT abbreviated course
- C. QA/RBI 1-day course (virtual or in-person
- D. None of the above
- **Choose all courses you have taken.







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Forms You'll Need

- NC QA Field Assessment Marking Instructions
- NC Quality Assurance & File Review Workbook
- 2009 NC Food Code
- .2600 Rules

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	REHS:	Registered Environmental Health Specialist (includes intern)	ode
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	NA	This item is marked NA if the REHS is doing an inspection on a newly permitted establishment that does not have previous inspections to review.	Ith Section
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	IN/OUT	This item is marked IN/OUT based on the REHS's awareness of the file documents including the permit, permit conditions, and other relevant documentation. If the REHS attempts to review the paperwork, repardless of what is a valiable, this tem should be marked IN. Items to review include, but are not limited to: the permit, permit conditions, menu, TPHC, variance and/or HACCP plans, non-continuous cooking processes, and onsite wastewater and water supply documentiation.	
	NA	Marking this is not an option for this item.	North Carolina Public Health
	3. REHS	properly equipped	
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STATUS OF OBSERVATIONS:

NA

- IN/OUT Item is found in or out of compliance (appropriate compliance marking must be based on the description under each item number). This refers to the performance of the REHS during the inspection and is not related to the compliance status of the facility found during the inspection. The descriptions below should be used in conjunction with the NC Food Code marking instructions to determine performance compliance.
- NA Not applicable (NA marking is made when the data item is NOT part of the REHS's assessment of the food service establishment.)
- **REHS**: Registered Environmental Health Specialist (includes intern)

1. Reviews (1-3) previous inspections

IN/OUT This item is marked **IN/OUT** based on the REHS's review of previous inspections prior to conducting the inspection. The review is to identify past risk factor violations, repeat violations and other items of concern.

This item is marked **NA** if the REHS is doing an inspection on a newly permitted establishment that does not have previous inspections to review.

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9					Prior	to Insp	oectior																	
10		1. Re	eviews (1-3) prev	ious in	spectio	าร																	
11				s of perm		litions a	nd sup	oorting	j docum	nents														
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13	-					ing the	Inspe	ction																
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22		11. "	/erifies	Certified	Food I	Manage	r; PIC	duties	1															
23	_			e health	1																			
24	_			/gienic P		s 4,5																		
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26				hand col			,																	
• •	Jane I	Inspector-Mc	Donald's	Jane Insp	ector-Ha	ardee's	Joe Insp	ector-Bo	jangle's	Joe Ins	pector-Food	l Lion De	li Tot	als From Field	d Assessmen	t Comp	liance Tota	als (+)	•		_			Þ

Conducting the Field Assessment

- Evaluate the REHS on all items 1-53 on the field assessment form.
- You can use the *Fieldwork Evaluation Checklist* for taking notes.
- Focus on the REHS during the assessment, not the facility.





				Fieldwork I	Evaluation Checklist
	Establishment Name:	Cou	unty/Distr	rict:	QA Score: 100
	Food Temperature Control				
	Cooling Methods 31				
32	Recognizes plant food cooking 32				
33	Thawing Methods 33				
34	Thermometers available and accurate 34				
	Good Retail Practices				
	Water and Ice From Approved Sources 29				
	Food Identification 35				
	Prevention of Contamination 36, 38, 39, 40				
38	Proper Use of Utensils 41, 42, 43, 44				
	Utensils and Equipment 45, 46, 47				
40	Physical Facilities 48, 49, 50, 51, 52, 53, 54				
	Setting example				
	EHS washes hands as needed				
42	Properly uses equipment				
	Paperwork and File Review				
	Proper code citation and Item number marked				
	Item properly marked as a repeat violation				
	Corrective Action Achieved, CDI noted				
	Verification Required properly documented				
	Enforcement Action properly taken				
	Options for long-term control of risk factors explored				
	Risk category and risk frequency verified				
	Correction of previous risk factor violations achieved				
	Exit interview conducted and paperwork provided				
	Inspection documentation clear and complete				
53	Paperwork filed properly and in timely manner				
		0	0		Additional Comments
	Overall Rating of EHS		100		
	Unacceptable <70%				
	Needs improvement 70-84%				
	Acceptable ≥85%				
	29 Recognizes Variance/HACCP 30				
	30 Verifies HACCP plan 27				

				Fieldwork Evaluation Checklist
Establishment Name: Sunny's Grill	Co	unty/Dist	trict:	Any County QA Score: 98
Establishment ID#: 06003010510		EHS Na	ame:	Joe Smith
		REF	HS#:	5125
		D)ate:	06/25/20
		Evalua	ator:	Ima Supervisor
Items Evaluated	IN	OUT	NA	Comments
Prior to Inspection				
1. Reviews (1-3) previous inspections	1		10000000	16- Need to verify the sources of food used by the facility.
2. Awareness of permit conditions and supporting documents				
3. REHS properly equipped	1			
Conducting the Inspection				
4. Properly identifies themselves	1			
5. Menu review	1			
6. Asks PIC to accompany during inspection	1			
7. Verifies ownership, demographics	1			
8. Surveys facility; Prioritizing risk factors	1			
9. Appropriate attire/Complies with facilities policies	1			
10. Professional Rapport Risk Factors/Proces/Jes	1			
11. Verifies Certified Food Manager; PLC duties 1	1			
12. Employee health 2,3	1			
13. Good Hygienic Practices 4,5	1			
14. Handwashing 6,8	1			
15. No bare hand contact 7	1			
16 Approved Sources 9,10,11,12,15		1		
17. Food storage and protection 13,37	1			
18. Cleaning & sanitizing food contact surfaces 14	1			



Risk Factors/Processes		
11. 'Verifies Certified Food Manager; PIC duties 1	1	
12. Employee health 2,3	1	
13. Good Hygienic Practices 4,5	1	
14. Handwashing 6,8	1	
15. No bare hand contact 7	1	
16. Approved Sources 9,10,11,12,15	1	
17. Food storage and protection 13,37	1	
18. Cleaning & sanitizing food contact surfaces 14	1	
19. Cooking 16	1	
20. Reheating 17		1 No reheating of TCS food was noted during the inspectio
21. Cooling Parameters 18	1	
22. Hot Holding 19	1	
23. Cold Holding 20	1	
24. Date marking 21	1	
25. TPHC 22		1 Facility does not use TPHC
26. Consumer advisory/Pasteurized foods 23, 28	1	
27. Additives/Chemicals 25, 26	1	
28. Recognizes HSP requirements 24		1 Facility does not serve an HSP
29. Recognizes Variance/HACCP 30	1	
<i>30. Verifies HACCP plan 27</i>		1 Facility does not have a HACCP plan



Setting example			
41. EHS washes hands as needed	1		
42. Properly uses equipment	1		
Paperwork and File Review			
43. Proper code citation and Item number marked	1		
44. Item properly marked as a repeat violation			1
45. Corrective Action Achieved, CDI noted	1		
46. Verification Required properly documented			1
47. Enforcement Action properly taken			1
48. Options for long-term control of risk factors explored			1
49. Risk category and risk frequency verified	1		
50. Correction of previous risk factor violations achieved	1		
51. Exit interview conducted and paperwork provided	1		
52. Inspection documentation clear and complete	1		
53. Paperwork filed properly and in timely manner	1		
	42	3	7
Overall Rating of EHS		93	
Unacceptable <70%	┱┓		
Needs improvement 70-84%			
Acceptable ≥85%			



Field Evaluation Checklist Data Table

Total Number of Evaluations:	1	2									
EHS #:		5125			5125	7-					— 1
Evaluation Number:		1			2		3			4	
Establishment:		Bojangles #3456			Food Lion Deli #789						
Items Evaluated	IN	OUT	NA	IN	OUT NA			NA	IN	OUT	NA
Prior to Inspection	4	_		4							_
1. Reviews (1-3) previous inspections Awareness of permit conditions and supporting documents	1 1	_		1		1					
3. REHS properly equipped	1 1	<u> </u>		1 1							
Equipment/Supplies				-		1					
4. Properly identifies themselves	1	-		1		8					
5. Menu review	1			1		2					
6. Asks PIC to accompany during inspection	1			1							
7. Verifies ownership, demographics	1		911111	1		10		0000			
8. Surveys facility; prioritizing risk factors	1			<u> </u>	1	2					
9. Appropriate attire/Complies with facilities policies	1			1							
10. Professional Rapport	1	-		1		2					
Risk Factors/Processes											
11. Verifies Certified Food Manager; duties 1	1			1		8					
12. Employee health 2,3	1			1							
13. Good Hygienic Practices 4,5	1			1							
14. Handwashing 6,8	1			1							
15. No bare hand contact 7	1			1		0					
16. Approved Sources-9, 10, 11, 12, 15		1			1						
17. Food storage and protection 13,37	1			1							
18. Cleaning & sanitizing food contact surfaces 14	1			1							



		Bojan			Food I			0			0	
Establishmen		Bojangles #345.0	Ŭ		Food Lion Deli #/89			~	•	•	•	
	5: 45	2	6		3	9	0	0	0	0	0	(
52. Inspection documentation clear and complete53. Paperwork filed properly and in timely manner	1			1	<u> </u>							
51. Exit interview conducted and paperwork provided	1			1								
50. Correction of previous risk factor violations achieved	1					1						
49. Risk category and risk frequency verified	1			1								L
48. Options for long-term control of risk factors explored			1			1						
47. Enforcement Action properly taken			1			1						
46. Verification Required properly documented			1			1						
45. Corrective Action Achieved, CDI noted	1			1								
44. Item properly marked as a repeat violation	+		1	•		1						
43. Proper code citation and Item number marked	1			1								
42. Properly uses equipment Paperwork and File Review	1			1								
	1			1								

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65 48. Options for long-term control of risk factors explored 1<
bit 49. Risk category and risk frequency vermed 1
68 51. Exit interview conducted and paperwork provided 1 <t< td=""></t<>
68 01 24 1
53. Paperwork filed properly and in timely manner 1
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71 Totals: 43 3 7 41 6 7 42 6 5 8 39 5 9 41 5 7 38 7 9 0
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71 Totals 43 3 7 41 6 7 42 6 5 40 5 8 39 5 9 41 2 9 41 5 7 38 7 9 0

	Itoms Evaluated	IN		% In Co	mpliance			
	26. Consumer advisory/Pasteurized foods	6	3	0		67%	33%	
	27. Additives/Chemicals 25, 26	4	5	0		44%	56%	0%
	28. Recognizes HSP requirements 24	2	0	7		100%	0%	78%
1	29. Recognizes Variance/HACCP 30	9	0	0		100%	0%	0%
2.	30. Verifies HACCP plan 27	1	0	8		100%	0%	89%
3.	Food Temperature Control							<u>)</u> /8
5.	31. Cooling Methods 31	9	0	0		100%	0%	0%
4	32. Recognizes plant food cooking 32	5	1	3		<mark>83%</mark>	17%	33%
4.	33. Thawing Methods 33	5	0	5		125%	0%	56%
5.	34. Thermometers available and accurate 34	9	0	0		100%	0%	0%
6.	Good Retail Practices							0%
7.	35. Water and Ice From Approved Sources 29	6	3	0		67%	33%	
8.	36. Food Identification 35	9	0	0		100%	0%	0% 7%
9.	37. Prevention of Contamination 36, 38, 39, 40	9	0	0		100%	0%	0%)%
10	38. Proper Use of Utensils 41, 42, 43, 44	9	0	0		100%	0%	0%)%
	39. Utensils and Equipment 45, 46, 47	9	0	0		100%	0%	0%
11	40. Physical Facilities 48, 49, 50, 51, 52, 53, 54	9	0	0		100%	0%	0%)%
12	Setting example)%
13	41. EHS washes hands as needed	9	0	0		100%	0%	0%)%
14	42. Properly uses equipment	9	0	0		100%	0%	0%)%
15	Paperwork and File Review							10%
16	43. Proper code citation and Item number marked	5	4	0		56%	44%	
17	44. Item properly marked as a repeat violation	2	0	7		100%	0%	78%
18	45. Corrective Action Achieved, CDI noted	6	1	2		<mark>86%</mark>	14%	22%
19	46. Verification Required properly documented	5	0	4		100%	0%	44%
20	47. Enforcement Action properly taken	1	0	8		100%	0%	89%
20	48. Options for long-term control of risk factors explored	1	0	8		100%	0%	89%
21	49. Risk category and risk frequency verified	9	0	0		100%	0%	0%
22	50. Correction of previous risk factor violations achieved	6	0	3		100%	0%	33%
23	- ST. EXIL INTERVIEW CONQUCTED AND DADERWORK Drovided	9	0	0		100%	0%	0%
24	52. Inspection documentation clear and complete	5	4	0		56%	44%	6
25	53. Paperwork filed properly and in timely manner	9	0	0		100%	0%	0% 0%
	53. Paperwork filed properly and in timely manner	9	4 0 0 0	30% 100%	44% 0% 0% 0%	6		

Overall Rating of REHS or Program

- Acceptable (85% or above)
- Needs Improvement (70%-84%)
 - Remediation may be required to improve weaknesses
 - Additional assessments may be performed if deemed necessary by the designated QA leader or Regional Specialist
- Unacceptable (Less than 70%)
 - Immediate remediation is required
 - Additional assessments shall be completed to verify improvement
 - Documentation of the remediation plan and results shall be provided to the Regional Specialist



Division of Public Health, Food Protection and Facilities Branch

Remediation-Field Assessments

- The QA leader or Regional Specialist may use the remediation options below when needed:
 - Fieldwork with QA leader or training designee
 - Food Code Refresher/RBI Course
 - ORAU/IAFP listed courses
 - Online courses
 - Centralized Intern Training
 - Neighboring county fieldwork





Division of Public Health, Food Protection and Facilities Branch North Carolina Department of Health and Human Services



QA File Review

- At least <u>3</u> files reviewed per QA evaluation period for each REHS conducting routine inspections in the FLI program
- Review is based on the *QA File Review Instructions*
- Findings are documented in the QA File Review Workbook
- File reviews can be conducted by QA leader(s) or Regional Specialist depending on the staff in the county or district
 - Regional Specialist will review files when regional review option is used by the county or district
 - Regional Specialist will review files for QA leader(s)



Division of Public Health, Food Protection and Facilities Branch North Carolina Department of Health and Human Services

Forms You'll Need

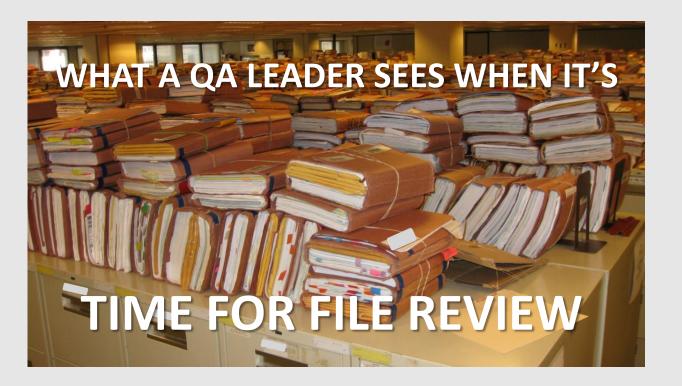
- QA File Review Instructions
- NC Quality Assurance & File Review Workbook
- 2009 NC Food Code
- .2600 Rules
- Marking Instructions for Food Service Establishments
- List of facilities to be included in the file review

SANT FOOD ES	11 - 18A .26	00 Rules Government	Man.
		Soften, An	
		ons for Marking the Food Establishment Inspection Report, Jing Code References for Risk Factors/Interventions and Good Retail Practices	h Carolina ode Manual Sadada effect Exclusioners
DEPAR	All references and coo Protection and Sanitat	de sections in these marking instructions are based on the Rules Governing the Food tion of Food Establishments.	and enty
DEAT	A. GENERAL MARKI	INC INSTRUCTIONS	
	HEADER Information Establishment Name		
	Establishment Name	of the business. This information should be the same as the license/permit	dministration's
	to a sector data as	application completed at the initiation of the business.	suation's
	Location Address Zip Code	Street address of the actual business location Actual business location	$Dde^{-a_{n_s}}$
	Telephone	Contact phone number for the establishment	
	Establishment ID#	Tracking number for Inspections, Statistics and Fees	
	County Inspection Type	Name the county where the establishment exists Mark the appropriate box	12
	Wastewater Type	Mark the appropriate box	
	Water Supply Permit Holder	Mark the appropriate box Name of Owner or Operator as shown on application	
	Establishment Type	Establishment Types as defined by the FDA Standard:	
		Institutions – Hospitals, Nursing Homes, Elementary Schools	
All Envi		Restaurants – Fast Food, Full-Service Retail Food Services – Deli Departments, Meat & Poultry Departments, Produce	ices
All Land		Departments & Salad Bars, Seafood Departments	eces
	Risk Category	Designation of risk level for determining frequency of inspection	
		Risk Category I applies to food service establishments that prepare only non- potentially hazardous foods.	Section
North		Risk Category II applies to food service establishments that cook and cool no more	
		than two potentially hazardous foods. Potentially hazardous raw ingredients shall be received in a ready-to-cook form.	
		Risk Category III applies to food service establishments that cook and cool no more	
		than three potentially hazardous foods.	
		Risk Category IV applies to food service establishments that cook and cool an unlimited number of potentially hazardous foods. This category also includes those	
		facilities using specialized processes or serving a highly susceptible population.	
	Number of Risk Factor/	The number of boxes marked OUT in items 1-27 should be counted and the total number placed here	NC and
	Risk Factor/ Intervention	counted and the total number placed here	Artho
	Violations		Table Mealth
	Number of Repeat Risk	The number of boxes marked R (repeat) in items 1-27 should be counted and the total number placed here	-
	Factor/Intervention	counted and the total number placed here	
	Violations		
	Score Date	A score earned by the establishment as a result of an inspection or reinspection The date of the inspection including month, day, and year	
	Date Time In	The date of the inspection including month, day, and year The actual time the inspection begins	
	Time Out	The actual time the inspection ends	
	Status Code	Designate the appropriate Status Code as defined by Inspections, Statistics and Fees Program	
	Contact Number	Fees Program The Regulatory Authority Contact Number.	
	Total Deductions	Total point deductions.	
	Verification Date	The date the verification inspection will be conducted.	
	Instructions for Marking the	Food Establishment Inspection Report	
	November 2019	· · · · · · · · · · · · · · · · · · ·	



Conducting the QA File Review

- Evaluate the file on all items 1-28 on the file review form.
- You can use the *Individual File Review Form* for taking notes.
- Document "Yes" or "No" depending on what is noted in the file.
- No scoring system for file review.





			Individual File Review Form
Establishment Name:	C	County/Di	strict:
Establishment ID#:		EHS	Name:
Inspection Form Documentation			
Demographics	Yes	No	Comments
			Individual File Review Form
Est blishment Name:	Cou	nty/Dis	rict:
istablishment ID#:	-	EHS N	
			HS#:
	R	eview	
		Evalu	ator:
File Contents If ir	compl	iance	enter a number 1 under the "Yes" column; if out of compliance, enter a number 1 under the "No" column
Items Evaluated	Yes	No	Comments
1. Permit			
2. Plan Review			
3. Vater and Wastewater			
4. Inspection and Reinspection Forms			
5. Verification Visit Documented			
6. Enforcement Action: Susp./Rev/			
7. Complaint Log			
8. Yariance Approval Documentation			
Totals	0	0	
	0	U	
25. Enforcement: Suspensions, Revocation			
26. IN, OUT, NA, NO			
27. Comments Clear and Adequate			
28. Total deductions accurate			
Totals:	0	0	
			Additional Comments

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- 12	-		3. Water and		ater													
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24		11. Inspection	Date an	d Time																			
25		12. Permittee																					
26		13. Phone #/Ad	ddress/N	lailing /	Address	S																	
4	Joe Inspec	ctor-Burger King	loe Inspect	or-Papa J	ohn's	Jane Inst	pector-Ap	plebee's	s Jane Ir	nspector-D	omino's	File R	eview Data Table	es File Re	eview Sum	nmary	+	•				•	
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					Individual File Review Form	
Establishment Name:	Ace's Grill		Cou	nty/Dist	rict: Any County	
Establishment ID#:	5063010256			EHS Na	me: Joe Inspector	
				RE	IS#: 5125	
			R	eview D	ate: 10/1/2020	
				Evalua	tor: Ima Supervisor	
	File Contents	Instructions: If in	compl	iance	enter a number 1 under the '	'Yes" column; if out of compliance, enter a number 1 under the "No" column
	Items Evaluated		Yes			Comments
1. Permit				1	 File did not include a permit. 	
2. Plan Review			1			
3. Water and Waster	water		1			
4. Inspection and Rei	inspection Forms		1			
5. Verification Visit D	ocumented		1			
6. Enforcement Actio	n: Susp./Rev/		1			
7. Complaint Log			1			
8. Variance Approval	Documentation		1			
		Totals:	7	1		

Inspection Form Documentation			
Demographics	Yes	No	Comments
9. Establishment Name	1		
10. Establishment ID Number	1		
11. Inspection Date and Time	1		
12. Permittee	1		
13. Phone #/Address/Mailing Address	1		
14. Status Code	1		
15. Risk Category/FDA Establishment Type	1		
16. Purpose of Visit	1		
17. Water and Wastewater	1		
18. PIC Signature	1		
19. REHS Signature/REHS Contact #	1		
Totals:		0	
Violations & Supporting Info	Yes	No	Comments
20. Violations documented accurately		1	20) On inspection report dated 6/20/20, improper usage of single-use gloves was marked under #44. Need to
21. Half, full, & zero deductions appropriate	1		mark under #13 and cite 3-304.15 (A).
22. Repeat violations	1		
23. Corrected During Inspection	1		26) On inspection report dated 3/17/20, #24 was marked "IN". This should be marked "NA" since this facility does
24. VR Documented	1		not serve an HSP.
25. Enforcement: Suspensions, Revocation	1		
26. IN, OUT, NA, NO		1	
27. Comments Clear and Adequate	1		
28. Total deductions accurate	1		
Totals:	7	2	
			Additional Comments

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																					File	Rev	iew	Da	ta T	abl	е											
Number of files reviewed:	2																																					
File Number		-			3	3	4	_	5		6		7	8		9		10	_	11	1	2	13		14	Í	15	1	6	1	7	1	8	19	9	20	F	21
REHS	512	25	512	25																																	\downarrow	
Establishment and ID#	Ace's Grill		Asian Fusion																																			
File Contents				ns	tru	ctic	ons	: If	in	con	npli	and	ce,	ente	era	a n	um	ber	1 u	inde	er t	he "	'Y"	col	um	n;	if o	out	of	cor	np	liar	ice.	, en	nter	r a r	nur	nbeı
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2. Plan Review	1	1		1							t																											
3. Water and Wastewater	1	1	1								T																										T	
4. Inspection and Reinspection Forms	1	1	1																																			
5. Verification Visit Documented	1	1	1																																			
6. Enforcement Action:Susp/Rev	1	1	1																																			
7. Complaint Log	1	1	1																																			
8. Variance Approval Documentation	1	1	1																																		T	
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10. Establishment ID Number	1		1																																			
11. Inspection Date and Time	1			1																																		
12. Permittee	1		1																																			
13. Phone #/Address/Mailing Address	1	1	1																																		T	
14. Status Code	1	1	1	1																																	T	
15. Risk Category/FDA Establishment Type	1	1	1																																		T	

Violations & Supporting Info	Υ	Ν	% IN	
20. Violations documented accurately	1	7	11%	Comments
21. Half, full, & zero deductions appropriate	8	1	89%	
22. Repeat Violations	8	1	89%	
23. Corrected During Inspection	5	4	56%	
24. VR Documented	7	2	78%	
25. Enforcement: Suspension, Revocation	9	0	100%	
26. IN, OUT, NA, NO	5	4	56%	
27. Comments Clear and Adequate	3	6	33%	
28. Total deductions accurate	9	0	100%	
sub	55	25	68%	
	5	10 3 4	· · •	9370

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Remediation-File Review

- When any <u>overall item</u> in a program's file review compliance total is < 70%:
 - Training is required
 - Documentation of the training plan and results provided to the Regional Specialist
- Training may be through in-office meetings and/or coursework which includes:
 - Review of departmental policies
 - Review of .2600 rules
 - Review of NC Food Establishment Inspection Report Marking Instructions
 - Review of the NC File Review Instructions





Standardization

- Activities in the QA program can be used towards meeting Standard 4 and Standard 6.
- Spreadsheets are available in the QA Excel Workbooks for capturing data for meeting the Standards
- Fieldwork for Standardization can also be used towards the fieldwork requirement for QA.
- Contact your Regional Specialist if you are interested in using Standardization activities towards QA requirements.

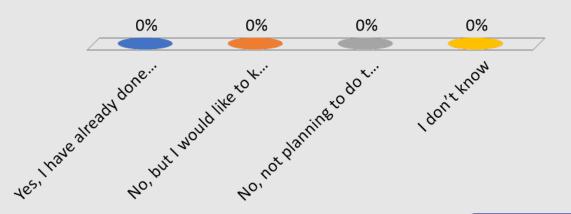






Would you like to use Standardization activities for QA?

- A. Yes, I have already done this.
- B. No, but I would like to know how.
- C. No, not planning to do this.
- D. I don't know





Division of Public Health, Food Protection and Facilities Branch North Carolina Department of Health and Human Services





Staffing Level Assessment

- Previously known as a Manpower study
- Purpose is to identify adequate staffing levels for FLI programs
- Focuses on quality inspections vs. inspection compliance rates
 - Some counties are achieving 100% inspection compliance and are not performing at a high level of quality
 - Some counties are not achieving 100% compliance and are not short-staffed
- <u>Required once per accreditation cycle beginning the Spring of 2021</u>
 - Need to start collecting activity data now
 - Collecting accurate data will make using SLAT forms easier



Staffing Level Assessment Tool (SLAT)

- The new tool will require:
 - Accurate job descriptions
 - Details of time worked by staff
 - Maintaining activity information for staff
 - Updating activity information as needed
- How are we assisting the process?
 - Created new activity codes to work with digital systems
 - Created Excel workbook to assist with maintaining activity information
 - Created several workbooks and instruction guides

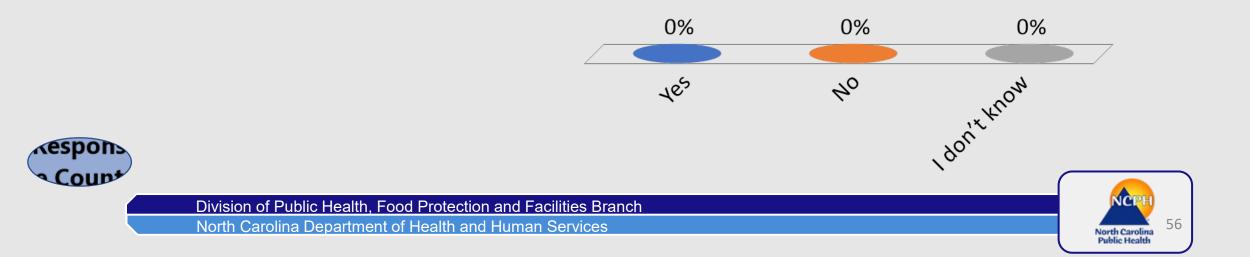




Division of Public Health, Food Protection and Facilities Branch

Have you started collecting data for SLAT?

- A. Yes
- B. No
- C. I don't know



What is Needed for SLAT?

Routine Activities

- Number of facilities in the county or district (Type 01-48)
 - Restaurants, food stands, mobile food units, meat markets, resident camps, residential cares, etc.
- Inspection and travel time for each type of inspection is automatically calculated.





Type of Establishment	Туре	Number of Inspections Required		# in County		Total # Inspection in Year		Hours Per Inspection		Drive Time		Total Hours Per Year
			F	Restaurants								
Category I		1	*		=	0	*	1.40	+	0.50	=	0.00
Category II		2	*		=	0	*	1.72	+	0.50	=	0.00
Category III	01	3	*		=	0	*	2.33	+	0.50	=	0.00
Category IV		4	*		=	0	*	2.88	+	0.50	=	0.00

What is Needed for SLAT?

Routine Activities

- Consultative/verification visits, plan review, QA, staff meetings, transitional permits, water samples, TFEs.
- Time spent on some activities are automatically calculated.
- For other activities, time and travel must be entered by the county/district.



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3 (Consultative Visits																					
	Complaint Visits																					
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15 (On-Call Activities																					
16 1	raining (in-house)																					
17 5	taff Meetings																					
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21 (comm. Disease Invest	igations																				

22

23

24

25 26 Establishment In-services

May June | July | August | September | October | November | December | January | February | March | April ... 🕀 🗄 🔳 - • •

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Value-added Programs Activities

Education

Time Spent on Activities (Hours)

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+ 100%



Routine Activities

Activity Type	# Activities this Month	Time Spent on Activities (Hours)
Consultative Visits		
Complaint Visits		
Verifications Visits		
Temporary Food Establishments (TFEs)		
Pre-Opening and/or Construction Visits		
Permits Issued		
Re-inspections		
Plans Reviewed		
Visit - Non-Permitted Establishment		
Transitionals (Change of Ownership)		
Water Samples		
Local FLI Ordinances		
On-Call Activities		
Training (in-house)		
Staff Meetings		
Local HACCP Approvals		
Quality Assurance		
Preparedness and Response		
Comm. Disease Investigations		

What is Needed for SLAT?

Value-added Programs Activities

• Education

- Establishment in-services, public education, food safety courses & proctoring
- Number of activities and time spent on these activities needed

• <u>Voluntary Retail Program Standards</u>

- Standardizations, meetings, trainings, work towards meeting a Standard
- Number of activities and time spent on these activities needed
- Drive time is calculated automatically <u>only</u> for Standardizations



Division of Public Health, Food Protection and Facilities Branch

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	Value-added Programs Activities					
		Education				
Activity Type		# Activities this I	Month	Time Spent on Activities (Hours)		
Establishment In-services						
Public Education						
Courses and Proctoring						
	Voluntar	y Retail Progran	n Star	dards		
Activity Type		# Activities this I	Month	Time Spent on Activities (Hours)		
Standardizations						
Meetings						
Reporting Time						
Online Courses						
Standard 1						
Standard 2						
Standard 3						
Standard 4						
Standard 5						
Standard 6						
Standard 7						
Standard 8						
Standard 9						

Value-added Programs Activities									
	Education								
Activity Type	# Activities this Year	Time Spent on Activities (Hours)							
Establishment In-services	2	6							
Public Education	3	8							
Courses and Proctoring	2	32							
Voluntary Retail Program Standards									
Activity Type	# Activities this Year	Time Spent on Activities (Hours)							
Standardizations	0	0							
- Meetings	0	0							
Reporting Time	0	0							
Online Courses	0	0							
Standard 1	0	0							
L Standard 2	0	0							
Standard 3	0	0							
Standard 4	0	0							
Standard 5	0	0							
L Standard 6	0	0							
Standard 7	0	0							
F Standard 8	0	02							
Standard 9	0	0							

What is Needed for SLAT?

Job Duties & Descriptions

• Job Duties

- How many hours are staff available for EH duties?
 - 2080 hours is used as the base number for calculations
- Need to know the following for each staff member:
 - Work hours per day
 - Workdays per week
 - Projected vacation, sick, and holiday leave used per year
 - Other types of leave



Division of Public Health, Food Protection and Facilities Branch

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Intervention 11 12 13 Work days								13	14
14 Projected Sick Leave 15 Projected Vacation Hrs 16 Paid Holiday									
 Education Travel Incidentals (weather) Personal Time Off (PTO) 									
20 Available Field Hours/ Yr 21 Hours/Yr Dedicated to FLI 22	0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0	-	0 0 00 0.00	0.00	-	0 0 0.00 0.00	0 0 0.00 0.00	0.00	0.00
22 23 24 Total Available Field Hours/Yr 25 26 Total Hours/Yr Dedicated to FLI	0.00								
27	0.00								_
 28 29 Percentages (Hr/wk) 30 31 FLI Routine Activities 	1 2 0 0	3 4 0 0	5 0	6 7 0 0	8 9 0 0		11 12 0 0	13 0	14 0
Ready Control Activities Job Des	FLI Staffing Nee	ds Resource 🕂						<u> </u>	► ► ► ► ►
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Percentages (Hr/wk)	1	2
	Joe Inspector	Jane Inspector
FLI Routine Activities	25.00%	75.00%
FLI Value Added Program Activities		5.00%
Supervisory Activities	30.00%	
Children's Environmental Health		10.00%
On-site and Water Protection	20.00%	
Well Program	20.00%	
Pools and Tattoos		5.00%
Methamphetamine Lab Program	5.00%	
Other		5.00%
% Total	100.0%	100.0%
% Time Dedicated to FLI	25.0%	80.0%
Total Staff Number		
Dedicated to FLI	(1.	05

What is Needed for SLAT?

Job Duties & Descriptions

• Job Descriptions

- Many programs across the State have staff with responsibilities in multiple EH programs
- Duties in these other programs can take away from duties in the FLI program
- Job descriptions should be reviewed and updated to include:
 - Percentage of time staff member spends doing FLI routine activities, value-added program activities, supervisory activities, children's EH activities, OSWP/well activities, pools and tattoo activities, meth lab activities, etc.
 - Percentages should add up to 100%



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C8	co	represents the amount of time a member of management spends conducting supervisory QA with staff, reviewing paperwor ching employees, providing technical assistance/interpretation guidance to staff, planning staff meetings, resolving inspector ployees, writing departmental policies, voluntary program standards activities (if completed by a supervisor), and any other do	complaints with the public, dealing with diplomatic issues, interviewing pote	ential new				
A	В	C	D	<u> </u>				
2	County	Employee Name	Employee Title	Employ				
3	Select		Select					
4								
5	Job Description Category	escription Category Description						
6	FLI Routine Regulatory	This represents the amount of time an employee spends completing regular inspections at restaurants, food elderly nutrition sites, public/private school lunchrooms, limited food services, commissaries, institutional for summer/primitive/resident camps, meat markets, nursing homes, hospitals, residential care for This also represents the amount of time an employee spends issuing TFE permits, critical item visits (ver investigating complaints on establishments (including illegal vendor investigations), investigating potential for water samples for FLI establishments ONLY, reviewing plans/issuing permits, issuing transition review/approval/validation/verification, reinspections of establishments, emergency preparedness and resp training new staff, time spent at staff meetings, and administrative work (ex. ta	ood services, lodging establishments, bed & breakfast homes/inns, facilities, local confinements, and adult day cares. erification visits, intents to suspend, immediate suspensions), bodborne illness outbreaks, maintaining inspection records, taking onal permits, peer-to-peer QA review, HACCP plan bonse, enforcing local ordinances, time spent on-call, time spent					
7	Value-Added Program Activities	This represents the amount of time an employee spends training (ex. Servsafe), public education (outreach ev (ex. CFPM Certification), and voluntary program standards activities completed by non-supervisory st						
-	Employee 1 Employee (2)	Employee (3) Employee (4) Employee (5) Employee (6) Employee (7) Employee (+) :		▼ ▼				
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Children's Environmental Health	This represents the amount of time an employee spends completing any tasks related to the childhood lead poisoning prevention program, childcare sanitation program, snd school sanitation program.	15
On-Site and Water Protection	This represents the amount of time an employee spends completing any tasks/regulatory activities related to the onsite wastewater program.	0
Well Program	This represents the amount of time an employee spends completing any tasks/regulatory activities related to private water supply wells program.	0
Pools and Tattoos	This represents the amount of time an employee spends completing any tasks/regulatory activities related to the tattoo or public swimming pool programs.	10
Methamphetamine Lab Program	This represents the amount of time an employee spends completing any tasks/regulatory activities related to the methamphetamine lab program.	0
Other	This represents any tasks that are not included in a category listed above or the FLI program such as work related to rabies clinics, or other public health related work.	0
Total		100



And Finally....

• Once the data has been provided to the Regional Specialist:

- The required data will be entered into the spreadsheets.
- The results of the SLAT will be reviewed by the Regional Specialist and a letter of the findings will be provided to the EH Director or Supervisor.
- The results will indicate either that the program is "Fully Staffed" or that "Additional Positions Needed to Fully Staff FLI Program". The number of additional positions needed will be provided as well.
- When reviewing these results, keep in mind that this number indicates Full-Time Employees (FTE) that dedicate **100% of their time** to *Food, Lodging, and Institutions* activities.
- This information can be provided to county/district leadership when budgetary decisions are being made.



Division of Public Health, Food Protection and Facilities Branch

Do you feel comfortable with SLAT after this presentation?

- A. Yes, totally comfortable.
- B. Yes, but I could use more training on the spreadsheets.
- C. No, I'm lost!
- D. I am not responsible for SLAT.





Division of Public Health, Food Protection and Facilities Branch North Carolina Department of Health and Human Services



Accreditation

- •QA programs can help with Accreditation by:
 - Developing a well trained and knowledgeable staff
 - Verifying files contain required documentation
 - Verifying inspection reports are properly completed
- SLAT can help with Accreditation by:
 - Providing data necessary to determine adequate staffing levels
 - Providing leadership with an assessment of FLI activities
 - Determining staffing needs within EH programs



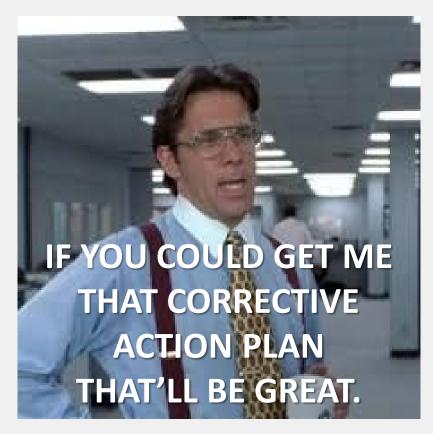


Division of Public Health, Food Protection and Facilities Branch

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Corrective Action Plans

- The Regional Specialist will request and review the QA documentation as described in the QA policy
- A Corrective Action Plan (CAP) may be required from the Regional Specialist for any deficiencies noted in this policy.

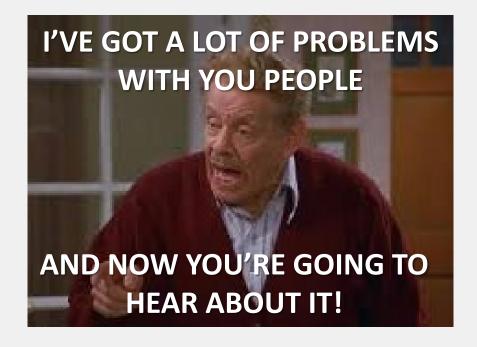






Grievances

- An REHS may request a meeting to review any portion of the QA assessment.
- This review should be done with the supervisor or Director of the program and may include the Regional Specialist.
- A grievance may be requested for any area of disagreement related to the assessment.





Division of Public Health, Food Protection and Facilities Branch

Summary

- Implementation of a QA policy & prioritization policy
- QA evaluation period began on May 1, 2020 and will continue until April 30, 2021
- 2 QA Field Assessments per REHS per QA evaluation period
- 3 File Reviews per REHS per QA evaluation period
- Staffing Levels will be assessed every accreditation cycle beginning Spring 2021
 - Activities must be tracked beginning this FY to prepare
 - Form templates are available to assist with capturing activities
- QA activities will be reported to the Regional Specialist on the new QA Summary Checklist by May 1, 2021



QA SUMMARY CHECKLIST

Agency Name:	County:			
Name of Person Responsible for QA:				
QA Evaluation Period Covered by this Summary: May 1 st , Choose - April 30 th , Choose				



- A copy of the current QA policy for the Food Protection Program.
- A summary on letterhead of what QA activities have been accomplished during the QA evaluation period. This summary should include the following:
 - a. Number of field assessments for leaders and field staff
 - b. Number of file reviews for leaders and field staff
 - c. Number of staff that perform routine inspections
 - d. Number of staff that **DO NOT** perform routine inspections, but **ARE** involved in QA
 - e. Number of staff that substituted standardization activities for QA field assessments
 - f. Documentation of how prioritization policy was utilized, if necessary

- 3. A copy of the Excel Workbook provided by the Food Protection and Facilities Branch that includes the following:
 - a. Results describing field assessments-completed according to QA marking instructions, including clear and concise comments.
 - b. Results from file reviews-completed according to File Review Instructions, including clear and concise comments.
- 4. As required in the QA policy, remediation activities for leaders or staff, based on results of previous field assessments and files reviewed.



- 5. If operating under a Branch-directed CAP (corrective action plan), explain the work completed to achieve compliance with that plan.
- Supporting documentation showing how the Department has achieved compliance with the QA policy.





