

EHS.FLI 100 1.0 Policy on Quality Improvement and Assurance



	Countywide or	X	Department: Environmental Services	X	Division(s): Environmental Health and Safety Division
Supersedes: ES Standard EHS 100 <i>and</i> ES Procedure EHS.FLI 104.1.0					Effective Date: April 1, 2014
Authority: EH&S Division Director					
Originating Department/Division/Section/Work Unit: ES / EH&S / FLI					

- I. **Purpose:** To insure uniformity among regulatory staff in the interpretation of laws, regulations, procedures and enforcement actions.

- II. **Policy Statement:** The Food Lodging Institution Section (FLI) will assess quality programming through:
 - Inspection staff will be trained in the knowledge, skills, and ability to perform their duties as measure by successful completion of the North Carolina Department of Health and Human Services (NC DHHS) authorization process.
 - FLI will compile data and report it periodically for program evaluation.
 - Management will hold periodic staff meetings for education, procedure review, and updates.
 - Team leaders will routinely review fieldwork documentation to ensure accuracy of cited violation and that appropriate corrective actions were taken.
 - Team leaders will use the “Fieldwork Evaluation Checklist” to evaluate staff performance during at least two field visits each year. The evaluation tool incorporates the FDA 10 essential elements for quality programs.
 - FLI will develop annual work objectives for staff. Work objectives relate to quantity and quality of work.
 - Management will conduct annual performance reviews (PDMS) based on work objectives. Compensation will be related to performance. Management will communicate corrective actions as necessary using the Wake County Human Resources Manual
 - FLI will gather industry and customer feedback, and will use data to continuously improve program outcomes. Feedback may include:
 - Food Service Advisory Committee
 - Periodic customer surveys
 - FLI will assess its quality assurance and improvement program annually (FDA Voluntary Standard 4)

- III. **Definitions:**
 - Quality improvement – taking action to improve a process
 - Quality assurance – monitoring to assess current performance, usually includes comparisons to a set of benchmarks

- IV. Applicability/Exceptions:** This policy applies to EH&S FLI Section.
- V. Policy Responsibility and Management:** This policy will be reviewed annually by the Division Director
- VI. Related Publications:**
Consolidated Agreement Addendum, 2014
- VII. Appendices:**
- Consolidated Agreement Addendum, 2014
 - Fieldwork Assessment tool
 - FLI work objectives
- VIII. History:**

Effective Date	Version	Section(s) Revised	Author
04/01/2014	1.0	Original	Pierce

Division of Public Health Agreement Addendum FY 12-13

Wake County Human Services	Environmental Health Section/ Food Protection and Facilities Branch
Local Health Department Legal Name	DPH Section/Branch Name
874 Food and Lodging	Larry Michael, (919) 707-5872 larry.michael@dhhs.nc.gov
Activity Number and Description	DPH Program Contact Name, Telephone Number (with area code) and Email
04/01/2013 – 05/31/2013	DPH Program Signature Date
Service Period	(only required for negotiable agreement addendum)
05/01/2013 – 06/30/2013	
Payment Period	

- Original Agreement Addendum**
 Agreement Addendum Revision # ___ (Please do not put the Aid to County BE revision # here.)

I. Background:

In order to fund a portion of local expenditures created by State-mandated Food, Lodging and Institution sanitation programs and activities, the legislature established a State Inspections Statistics and Fees Program within the Environmental Health Section. This program centralizes public health data, invoices regulated facilities, and distributes the funds in accordance with GS 130A 248(d). The receipts collected are redistributed to local environmental health programs in the form of aid to counties.

II. Purpose:

The Agreement Addendum allows for the Local Health Department’s environmental health program to implement State-required sanitation regulations. The funds from this Agreement Addendum are to be used to support local food, lodging and institution programs and activities. The disbursement and fund purpose are described in GS 130A-248(d) and 15A NCAC 18A .2901.

GS 130A-248(d) The Department shall charge each establishment subject to this section, except nutrition programs for the elderly administered by the Division of Aging and Adult Services of the Department of Health and Human Services, establishments that prepare and sell meat food products or poultry products, and public school cafeterias, a fee of seventy-five dollars (\$75.00) for each

[Signature] 3/12/13
 Health Director Signature (use blue ink) Date

Local Health Department to complete: (If follow up information is needed by DPH)	LHD program contact name: <u>Andre Pierce</u> Phone number with area code: <u>919 856-7440</u> Email address: <u>apierce@wakegov.com</u>
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Signature on this page signifies you have read and accepted all pages of this document.

permit issued. This fee shall be reassessed annually for permits that do not expire. The Commission shall adopt rules to implement this subsection. Fees collected under this subsection shall be used for State and local food, lodging, and institution sanitation programs and activities. No more than thirty-three and one-third percent (33 1/3%) of the fees collected under this subsection may be used to support State health programs and activities.

RESTAURANT AND LODGING FEE COLLECTION AND INVENTORY PROGRAM

15A NCAC 18A .2901 DISBURSEMENT OF FUNDS

Fees collected pursuant to G.S. 130A-248(d), minus state expenses budgeted for the collection and inventory program, shall be distributed to local health departments for the support of local public health programs and activities as follows:


- (1) Seven hundred and fifty dollars (\$750.00) to each county;
- (2) the remaining balance of funds shall be distributed in accordance with the following formula:
 - (a) [the remaining balance of funds after distribution in Paragraph (1) of this Rule] multiplied by (the number of facilities in the county divided by the number of facilities in the state) multiplied by (the county's percentage of compliance with mandatory inspection requirements for food and lodging establishments in G.S. 130A-249 and 15A NCAC 25 .0213 for the previous fiscal year, not to exceed 100 percent) equals the allocation to the county; and
 - (b) distribution of remaining funds to counties with 100 percent compliance with mandatory inspection requirements for food and lodging establishments in G.S. 130A-249 and 15A NCAC 25 .0213 during the previous fiscal year shall be made in accordance with the following:
[total amount of remaining funds after distribution in Paragraph (2)(a)] multiplied by (the number of facilities in the county divided by the number of facilities in all counties with 100 percent compliance with mandatory inspection requirements for food and lodging establishments in G.S. 130A-249 and 15A NCAC 25 .0213 during the previous fiscal year) equals the additional allocation to the county.

History Note: Authority G.S. 130A-9; 130A-248; 130A-249; Eff. May 1, 1991.

III. Scope of Work and Deliverables:

The Local Health Department Food and Lodging Funds are distributed as follows: **\$750** plus **\$69,976** as calculated based in the attached Food and Lodging Distribution Calculations spreadsheet for a total disbursement of **\$70,726**. The Local Health Department shall use this funding for food, lodging, and institution sanitation programs and activities.

Assuring consistency and quality of Food and Lodging permitting and inspection activities is essential to effective implementation of the Food and Lodging permitting and inspection program. Inconsistencies or failures to appropriately apply permitting and inspections rules can create liability for the County and the Local Health Department as well as loss of confidence from the public and operators. In order to provide for consistency and quality within the food and lodging program and as part of this agreement, the Local Health Department shall, during the Agreement Addendum period, send at least one representative to a Quality Assurance training program provided by the Environmental Health Section (at no cost to the Local Health Department) or other training approved by the Environmental Health Section. Additionally, the Local Health Department shall develop an internal Quality Assurance plan for the local food and lodging inspection program which will be submitted for review and approval by the Regional Environmental

Health Specialist by May 31, 2013. The Local Health Department agrees to incorporate the approved plan into their Food and Lodging program. 

IV. Performance Measures/Reporting Requirements:

The Local Health Department shall ensure funds are used for food, lodging, and institution sanitation programs and activities in accordance with GS 130A-248(d) at all times.

V. Performance Monitoring and Quality Assurance:

DPH will review annual required inspection data submitted electronically to the BETS data system to assure required food, lodging and institutional inspections are completed at the frequency required. Failure to complete required inspections or if deficiencies persist, will cause the Local Health Department to lose funding.

During program monitoring activities Regional Environmental Health Specialist may review documentation that the approved Quality Assurance plan is being implemented.

VI. Funding Guidelines or Restrictions: (if applicable)

The Local Health Department is required to submit a signed and completed Food & Lodging Local Health Department Request for Payment form (DPH EH 2948 (B)) to request funds. Reimbursement will not be made until this Agreement Addendum and the attached Food & Lodging Local Health Department Budget form (DPH EH 2948 (A)) are fully executed. Requests for Payment shall be requested during the period April 1, 2013 through June 8, 2013. Requests received after June 8, 2013 will not be processed.

Food Lodging Institution Section - EHS Work Objectives (2013-2014)

Work Objective #1 – Inspection Coverage Output

A yearly minimum inspection count of 480 inspections (average of 40 per month) or higher will be performed along with other work responsibilities, including permitting, complaint investigations, office work and other activities.

Employees reaching inspection totals at least 5% (504) above the minimum inspection requirement for the year will receive an “AE” for this work objective.

Employees reaching inspection totals at least 10% (528) above the minimum inspection requirement for the year will receive an “EX” for this work objective.

Work Objective #2 – Inspection Prioritization

Any facility missing one grading period shall receive priority to be inspected during the first month of the next grading period. Facilities must not be missed more than one grading period.

Work Objective #3 – Non-Inspection Field Duties

Time and data management: Required follow up for reinspections, critical violation follow ups, intents to suspend/revoke, transitional permits, etc.

Employees will synchronize DHD Field Client daily. Paperwork will be submitted to team leaders at each visit to the office.

In addition to the above, employees locating and issuing at least three (3) illegal vendor violations and participating in TFE functions (except State Fair) throughout the year will receive an “AE” on this work objective.

Work Objective #4 – Complaints

Potential imminent hazards at a facility require immediate investigation.

Foodborne illness complaints for a facility where multiple cases of illness whose only relationship is food consumed at the facility require a same-day investigation.

Communicable disease outbreak complaints require a same-day investigation.

Foodborne illness complaints for a facility where only one complaint call is received, reporting only one case or multiple cases with a common relationship, will require a response to the management of the facility within one business day.

General complaints must be investigated within three business days.

Complaint follow-up data must be entered into the computer system within 2 business days.

Work Objective #5 – Quality of Inspections

Employees will conduct quality inspections by: 1) reviewing permit conditions and previous inspections, 2) maintaining proper equipment and supplies, 3) addressing appropriate violations effectively, 4) properly documenting violations, and 5) effectively communicating with facility staff.

Fieldwork Evaluation Checklist					
Establishment Name:	EHS Name:				Scores
	RS#:				
	Date:				EHS:
ID#:	Evaluator:				Team
Items Evaluated	Y	N	NA	NO	Comments
Prior to Inspection					
#9: Verifies proper risk categorization of establishment, and the required frequency is being met					
Equipment/Supplies					
Forms: takes current regulations; correct forms, marking instructions, grade cards, etc.					
Equipment: takes calibrated thermometer, alcohol swabs, max. thermometer/thermolabels, flashlight, light meter, etc.					
Conducting the Inspection					
Identifies him/herself (with ID when appropriate); states the purpose of the visit					
Verifies ownership/inquires of permit information (water, sewer, address, etc.)					
Verifies certified food service manager present					
Verifies PIC performs duties					
Collects food/water sample when necessary (proper sampling techniques/correct forms (chain of custody, requisition))					
Washes hands as needed					
Uses equipment properly (sanitizing thermometer, test strips, flash light, light meter, etc.)					
Assessment of CDC Risk Factors					
Use the Grade Sheet					
Documentation					
Utilizes half, full credit and comments appropriately					
# 4: Cites proper code provisions for CDC-identified risk factors and food code interventions accurately ; (form)					
# 2: Completes an inspection form that is clear, legible, concise and accurately reports findings, observations and discussions with establishment management					
Obtains signature of the PIC and copy of evaluation sheet given to operator					
#1: Determines and documents the compliance status of each risk factor and intervention (i.e. IN, OUT, N/A and N/O is noted on the inspection form) through observation and investigation					
#5: Reviews past inspection findings and acts on repeated or unresolved violations					
#6: Follows through with compliance and enforcement					

#7: Obtains and documents corrective action for out of control risk factors as appropriate to the type of violation (P, PF) or documents verification time follow up				
Posts grade card appropriately				
#10: Files reports, documentation in a timely manner				
Communication				
#3: Interprets and applies laws, regulations, policies, and procedures correctly (marking instructions)				
Asks open ended questions				
Explains public health reasons for violations				
Asks PIC questions about processes; waits for responses and confirms understanding (respectful listening)				
Provides contact information to the PIC				
#8: Documents options for long term compliance of risk factors for repeat violations. Options may include: a) handouts, b)risk control plans, c)SOPs, d)equipment/menu modifications, e)HACCP plans, f)applications, g) intervention strategies, h)certified food service safety manager courses				
Uses appropriate professional demeanor: open mindedness, ethical behavior, diplomacy, tactfulness, consideration				

Overall Rating of EHS	
Rating	Comments
Unacceptable <70%	
Needs improvement 70-84%	
Acceptable ≥85%	