

STANDARD 4 – UNIFORM INSPECTION PROGRAM INSTRUCTIONS AND WORKSHEET FOR CONDUCTING A SELF-ASSESSMENT

Using the Standard 4 Self-Assessment Worksheet

Criterion three on the *Standard 4: Self-Assessment and Verification Audit Form* requires a statistical measure of the program's effectiveness. Tables 4-1 and 4-2 on the *Standard 4: Self-Assessment Worksheet*, included at the end of these instructions, is designed to assist the jurisdiction in determining by statistical method the effectiveness of its Uniform Inspection Program and in documenting its findings. The jurisdictions are not obligated to use the worksheet. Equivalent forms or processes are acceptable provided that the statistical process and result is available for review.

Step 1 – Conduct three field reviews for each employee performing food service or retail food inspection work during the five-year self-assessment period.

The jurisdiction must conduct three field reviews with each employee performing food service or retail food inspection work during the five-year SELF-ASSESSMENT period. Staff members who are within their initial 24 months of training and have not completed all prerequisite courses, 25 joint inspections and 25 independent inspections as required in Standard 2, are exempt from the field reviews and file reviews used in the performance measurement rating calculation in the *Standard 4: Self-Assessment Worksheet*.

Field reviews must be conducted by someone who has completed Steps 1-3 in Standard 2 and is recognized by the PROGRAM MANAGER as having the field experience and communication skills necessary to train new employees.

Some of the performance elements can only be assessed after thorough a review of the establishment files. Therefore, each field review must be accompanied by a review of the establishment file.

Information from the file review will help the field assessor determine if the FSIO:

- Obtained corrective action for out-of-compliance RISK FACTORS and FOOD CODE INTERVENTIONS in accordance with the jurisdiction's policies;
- Discussed 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; and
- Verified correction of out-of-compliance observations identified during the previous inspection. In addition, follows through with COMPLIANCE AND ENFORCEMENT in accordance with the jurisdiction's administrative procedures.

The field reviews must be conducted at establishment types that are representative of the employee's case load. The jurisdiction should determine a method for selecting appropriate facilities for the field review process and use that method consistently for all employees.

The field review process (and the accompanying file review) is intended to evaluate the quality and consistency of the program for each performance element. The following should be taken into consideration when implementing the field review process:

- This Standard is intended to ensure that inspections are of a satisfactory quality and uniformity across the entire program.

- When assessing a staff member’s performance during the field review process, perfection is not required to demonstrate successful achievement of a performance element.
- Table 4-2 is intended to document the results of the field review process for the purpose of determining if a jurisdiction has achieved conformance with Standard 4. Table 4-2 is not intended as a mechanism for providing feedback to staff on their performance during the field review process. Therefore, jurisdictions are encouraged to incorporate the performance elements from Standard 4 into a field review tool so that staff can be provided with meaningful feedback that improves the quality and uniformity of their inspections.
- Jurisdictions may assess additional jurisdiction-specific performance elements during the field review process. However, for the purposes of determining conformance with Standard 4, additional jurisdiction-specific performance elements may not be included in the calculation used for Table 4-1 or 4-2.

Step 2 – Confirm that three field reviews have been conducted for each employee performing foodservice or retail food inspection work during the five-year self-assessment period.

Table 4-2 of the *Standard 4: Self-Assessment Worksheet* is used to document the field inspections and to analyze statistically the program’s overall effectiveness. The jurisdiction conducts at least three field inspections with each inspector who conducts food service or retail food inspections during each five-year SELF-ASSESSMENT period.

Table 4-2 must be completed with at least twelve field inspections. Jurisdictions with less than four inspectors must complete additional field inspections with each inspector in order to reach a total of twelve inspections. For example, a jurisdiction with three inspectors would need to: Complete four inspections each inspector.

Step 3 – Use Table 4-2 to enter the results from the three field reviews for each Food Safety Inspection Officer (FSIO)

- In the first column of Table 4-2, identify each FSIO by name or by a code.
- In the Establishment ID column, identify the three establishments included in the field reviews for each FSIO.
- In the “DATE” column, record the dates of the field visit and file review.
- Items 1 through 20 are the Standard 4 criteria related to the FSIOs competencies.

The self-assessor must place a check mark in the corresponding column of Table 4-2 when the activity or competency is verified.

Step 4 – Conduct calculations to Determine Program Effectiveness

JURISDICTIONS WITH TEN OR MORE INSPECTORS

For jurisdictions with ten or more inspectors conducting foodservice or retail food inspections, the self-assessor must:

1. Add the number of check marks in the column titled “Item 1”;
2. Divide the total number of checks marks from Step 1 by the total number of field inspections documented in Table 4-2;
3. Multiply the number in Step 2 by 100; and
4. Repeat this process for Item 1 through Item 20.

This results in a percent achievement for each of the twenty quality elements. Each of the twenty columns must show at least a 75% achievement rate in order for the program to meet the effectiveness measure. Perform and review the calculations for each of the twenty columns.

JURISDICTIONS WITH LESS THAN TEN INSPECTORS

For jurisdictions with less than ten inspectors conducting foodservice or retail food inspections, an adjustment must be made in the statistical method to compensate for the small sample size. The self-assessor must:

1. Add the total number of check marks for Item 1 through Item 20;
2. Refer to Chart 4-1. Column three of Chart 4-1 shows the minimum number of items that must be marked “IN Compliance” to meet the effectiveness measure for Standard 4.
3. Complete Table 4-1 to determine if the jurisdiction achieves conformance with the effectiveness measure in Standard 4.

Step 5 – Document Results of the Uniform Program Assessment

Use the worksheet results to mark “YES” or “NO” for criteria list under “3” – *Demonstration of Program Effectiveness Using the Statistical Method in Standard 4 Self-Assessment Worksheet*” on the *Standard 4: Self-Assessment and Verification Audit Form*.

**STANDARD 4 – UNIFORM INSPECTION PROGRAM
SELF-ASSESSMENT WORKSHEET**

Chart 4-1

Method of Calculation for Jurisdictions with Less Than Ten Inspectors

# of inspectors	# inspections needed	# of items needed to be marked IN compliance in order to meet Standard 4 criteria
<4	12 minimum	200 (out of 240 possible Items)
4-9	3 per inspector	4 inspectors = 200 (out of 240 possible Items) 5 inspectors = 252 (out of 300 possible Items) 6 inspectors = 303 (out of 360 possible Items) 7 inspectors = 355 (out of 420 possible Items) 8 inspectors = 407 (out of 480 possible Items) 9 inspectors = 459 (out of 540 possible Items)

NOTE:

1. These minimum inspection program assessment criteria are comparable to the 75% IN Compliance rate for each of the twenty inspection program areas for jurisdictions with 10 or more inspectors.

Example: For 6 inspectors, there will be 3 field visits per inspector = 18 visits 18 visits X 20 Items per visit = 360 Total Possible Items

Table 4-1

Calculation of Uniformity for Jurisdictions with Less Than Ten Inspectors

Period from _____ to _____

1. Number of inspectors in the jurisdiction	
2. Number of inspections used in the calculation (minimum of 12)	
3. Total number of items marked as correct during joint field visits and corresponding file reviews and recorded on Table 4-2.	
4. Total number of possible items based on the number of inspections (20 items times the # of inspections – see Chart 4-1, column 3)	
Determine conformance (YES or NO) using Chart 4-1, column 3	

**STANDARD 4 – UNIFORM INSPECTION PROGRAM
SELF-ASSESSMENT WORKSHEET**

Table 4-2: Calculation of Uniformity for Jurisdictions with Ten or More Inspectors

No.	Inspector ID	Establishment ID	Date	Item (1)	Item (2)	Item (3)	Item (4)	Item (5)	Item (6)	Item (7)	Item (8)	Item (9)	Item (10)	Item (11)	Item (12)	Item (13)	Item (14)	Item (15)	Item (16)	Item (17)	Item (18)	Item (19)	Item (20)
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NOTE: A check mark indicates the inspector complies with the item.

**STANDARD 4 – UNIFORM INSPECTION PROGRAM
SELF-ASSESSMENT WORKSHEET**

Table 4-3: Calculation of Uniformity for Jurisdictions with Ten or More Inspectors

Measure	Item (1)	Item (2)	Item (3)	Item (4)	Item (5)	Item (6)	Item (7)	Item (8)	Item (9)	Item (10)	Item (11)	Item (12)	Item (13)	Item (14)	Item (15)	Item (16)	Item (17)	Item (18)	Item (19)	Item (20)
1. Number of Check Marks from Table 4-2																				
2. Number of Inspections Reviewed in Table 4-2																				
3. % IN Compliance (Row 1 ÷ Row 2)																				