

# RISK-BASED INSPECTIONS

# Objectives

- Understand basic principles of a risk-based inspection
- Learn strategies for prioritizing your inspection
- Learn strategic questions for determining code compliance

# What is a Risk-Based Inspection?

A routine inspection where most of the time is spent assessing the 5 Foodborne Illness Risk Factors

- 1) Food from Unsafe Sources
- 2) Improper Holding Temperature
- 3) Inadequate Cooking
- 4) Contaminated Equipment
- 5) Poor Personal Hygiene



# Focusing the Inspection



Most of your time should be spent on assessment of:

- Compliance with code provisions related to foodborne illness risk factors, and
- The degree of active managerial control the operator has over risk factors

# Establishing Priorities

1

Review previous inspection report, related documents, and complaints on file.

2

Review the menu or food list

3

Conduct a quick walk-through

4

Ask questions

5

Choose starting point

- Highest risk
- Most dynamic

# Relative Risk



Risk Factor > Good Retail Practice

# Good Retail Practices (GRPs)

- Lower public health risk
- Usually static
- Some examples of GRPs include:
  - Facility and equipment maintenance & storage
  - General cleanliness of the premises
  - Water, plumbing
  - Storage of dry goods



# Dynamic/Static Activity



## Dynamic

- Constant change, activity or progress
- Cooling, reheating, cooking, receiving, preparation, serving food with bare hands

## Static

- Lacking in movement, action or change
- Cold holding, hot holding, food storage, employee health policies, good retail practices.

\*\*highly dynamic areas require longer observation times\*\*

# Scenario

Which scenario would be considered the most dynamic?

- A. Raw chicken stored above raw fish in the reach in cooler.
- B. Employee placing raw meat on grill and preparing RTE foods on the line
- C. Employee stocking foods in make table for lunch rush.
- D. Old food debris on the in-use tongs by the grill.

# Reviewing Past Inspection Reports



Helps you detect:

- Patterns of non-compliance
- Lack of Active Managerial Control
- Gaps in your opportunity to assess critical processes

Early in the inspection, follow up on:

- Patterns of non-compliance or lack of active managerial control
- Progress of implementing intervention strategies from the previous inspection



Menu

## Reviewing Menu or Food List

If possible, review before visiting facility

- Check online
- Menu clues in previous inspection report

Helps you detect:

- Specialized processes
- Unusual/unfamiliar foods
- Consumer Advisory

# Quick Walk-through



- Allows inspector to establish priorities and determine what is static and dynamic.
- Meant to be QUICK (2-3 minute in duration).
- Goal is to determine the critical processes being conducted.
- Normally, you would not stop and address issues that you see.

# Wash Your Hands

- Sets good example for staff
- Choose hand sink in area with view of multiple areas (i.e. can see prep area and kitchen at same time)
- Look around while washing hands
- Watch employees to see what tasks are occurring right then

# Conduct the Walk-through

What are we looking for:

Hand sinks

- Location

Staff

- Where are they
- What are they doing

Food

- Reheating/cooling/cooking/being prepped
- Get a preliminary temperature (especially cooling/reheating)

Walk in cooler for quick look

# Ask Questions



During the quick walk-through or before, ask key questions to determine if the following are being conducted:

- Cooking
- Preparation
- Cooling
- Reheating
- Receiving

# Choose Starting Point

## Area with highest risk

5 Foodborne Illness Risk Factors

## Most dynamic area

Could be cookline, prep area, dish area(?), primarily area where people are working

# Basics of Risk-Based Inspections

Use each area of the facility to prompt you to ask questions.

For example: steam table = cooling/reheating

Watch for prompts

- Activities which may lead to a violation
- Requires inspector's attention

# Basics of Risk-Based Inspections

- If a dynamic process is occurring at the same time as a static process, watch dynamic process first
- Sometimes you will have to stop check of a static item to watch dynamic process
  - For example: cook cracks raw eggs at grill while inspector is checking steam table temperatures

# Kitchen/Cook Line



# Kitchen/Cook Line Prompts

1<sup>st</sup> - cook behavior (handwashing, bare hand contact, personal hygiene)

2<sup>nd</sup> - cooking, cooling, reheating, food out at room temperature

3<sup>rd</sup> - food holding temperatures, raw protein storage, date marking

4<sup>th</sup> - cleanliness, chemicals, pests

Who to watch???



# Handwashing Questions



- How do you make sure your employees know when and how to wash their hands?
  - Do you have a written training program?
- Where do your employees wash their hands?
- How do you make sure they are washing their hands when needed?
- How do you make sure handwashing sinks are properly stocked?



# Grill/Cooking Surface Questions



- What foods do you cook from raw?
- Do you offer animal foods undercooked or raw?
- How do you know when the product is done cooking?
- What temperatures do you cook raw animal foods to?
- Do you have a thermometer?
- How do you know your thermometers are accurate?

# Food on Steam Table Questions



- Tell me about these items; were they cooked or reheated?
- When did you cook/reheat these items?
- When did you place them in the steam table?
- Are they ready to serve?
- Do you keep any of them at the end of the day?
- How do you reheat foods?
- What temperature do you hold these foods at?
- Do you check temperatures?

# General Holding Temperature Questions



- How do you know foods are the right temperatures?
- What temperature do you hold hot foods at?
- What temperature do you hold cold foods at?
- What do you do if you find foods out of temperature?
- (If they check temperatures) Do you log these temperatures?

# Cooling Questions



- What foods do you cool?
- How do you cool them?
- Do you have any foods cooling now?
- Are there any hot items left from yesterday?
- What do you do with the foods when they are removed from the steam table?
- What are the cooling requirements?

# Utensil Questions



- When did you last use these utensils?
- How often do you wash your in-use utensils and equipment?
- How do your employees know when things need to be washed?
- How do you make sure things are being washed when needed?



# Prep Area

# Prep Area Prompts



- Cook line prompts still apply in prep areas.
- Storage and preparation of food products
- Utensils and equipment

# Prep Area Questions



- What sink do you use for food prep, for example, washing fruits and vegetables?
- How and where do you thaw foods?



# Walk-in cooler/freezer

# Walk-in Cooler Prompts



Mostly static area

- Temperatures, raw meat storage, date marking, adulterated items

Watch for dynamic areas

- Important to know prompts and be able to identify them

# Walk-in Cooler Dynamic Prompts



Spinach Artichoke Dip in large plastic container cooling



Refried Beans in stacked pans cooling

# Date Marking Questions



- What does this date mean?
- When is the last day you can serve this product?
- How many days do you hold your foods?
- If cooked something today, what date would you put on the container?
- How do you make sure prepared or open items don't stay around too long?
- Do you make (or modify) any of your sauces or dressings?

# Which area tends to be most dynamic?

- A. Grill area
- B. Walk-in cooler
- C. Warewashing area
- D. Dry storage

A photograph of a stainless steel warewashing area. The image shows a three-compartment sink with a chrome faucet. Above the sink is a metal shelf holding various cleaning supplies, including a spray can, a pump bottle, boxes of paper towels, and a container of disinfectant. The background is a plain wall with a light switch. The text "Warewashing Area" is overlaid in white on the left side of the image.

# Warewashing Area

# Warewashing Area Prompts



- Employee activity
  - Dynamic
- Equipment, pests, chemicals
  - Static

# Warewashing Area Questions



- Describe your washing process.
- How often do you check the sanitizer concentration?
- Can you show me how you check it?
- How long do the dishes soak in the sanitizer?
- What sanitizer do you use?
- When do your employees wash their hands in this area?
- Do you check the water temperature to ensure proper sanitizing?



# Bar and Expo/Service Area

# Bar Area Prompts



- Employee activity
  - Dynamic
- Equipment, pests, chemicals
  - Static
- Adulterated items
  - Static

# Bar Area Questions



- Where do you wash your hands?
- Where do you wash the bar glasses or other utensils?
- How do you garnish your drinks?
- How do you prepare fruit for drinks?
- How do you keep small flies out of the liquor bottles?

# Expo/Service Area Prompts

- Employee activity
  - Handwashing
  - Garnishes
  - Portioning foods (salsa, desserts)
- Date marking, food temperatures
- Equipment, pests, chemicals
- Adulterated items

# Expo Area Questions



- Where do you wash your hands?
- When do you wash your hands?
- How do you portion the food?
- How often do you wash utensils?  
Where?

# Other Areas:

Dry storage

Outside storage

Restrooms

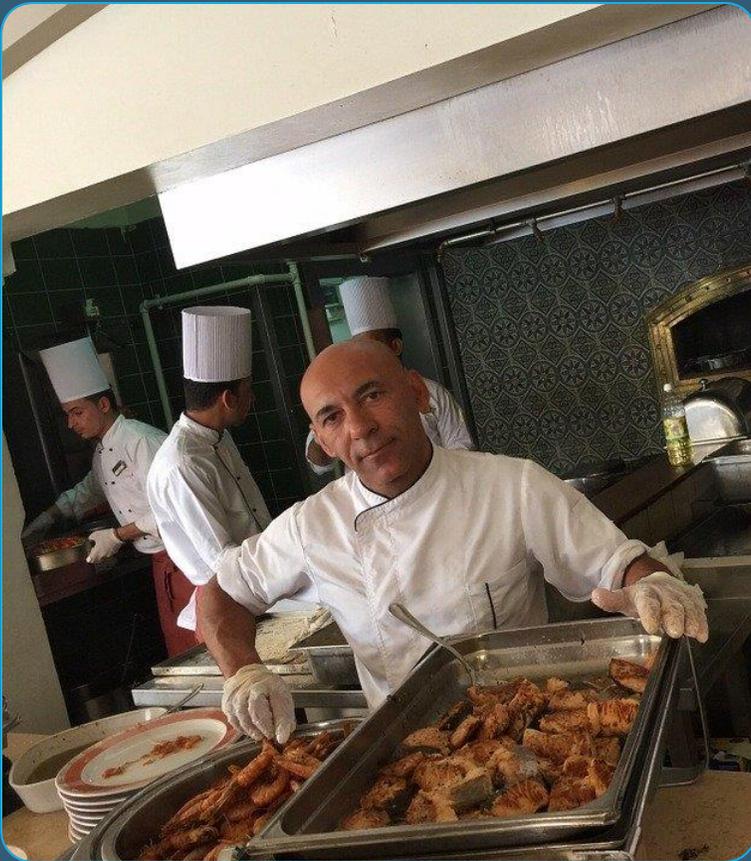
Dining room

# Dry Storage Prompts



- Static area
  - Don't hangout in dry storage
- Do you have invoices or service records that I can see?
- What food suppliers do you use?

# General Questions



- What type of Food Safety Training do you provide to your staff?
- Is any employee a Certified Food Protection Manager?
- Tell me about your pest control.

# Employee Illness Questions



- Do you require your employees to report any symptoms or illnesses?
- If an employee calls in sick this morning saying they are vomiting, when can they return to work?
- What type of training do you provide your employees on illnesses?
- What are the Big 6 Foodborne Illnesses that an employee must report to you?

# Where should you usually start your inspection?

- A. Grill/Prep
- B. Bar Area
- C. Walk-in Cooler
- D. Warewashing Area
- E. Wherever you determine based on your quick walk-through

# Conclusion

- We discussed
  - Components of a risk-based inspection
  - Strategies for prioritizing your inspection
  - Some strategic questions for determining code compliance

**QUESTIONS?**