



Maturity Model: Risk-Based Inspections in Retail Food Safety Programs

This model is a visualization of a Retail Food Safety Regulatory Program's potential use of the "Risk-Based Inspection" concept and best practices. This model is intended to be a tool to drive change and can be used to help leadership understand program growth potential through incorporating Risk-Based Inspection concepts.

Each "Element" is evaluated individually. A program may be at Level 1 in one Element and Level 3 in another. This model helps identify where your program is, and where it can go in the future to incorporate Risk-Based Inspection methodology.



Element	Level 1 Program is beginning to incorporate Risk-Based Inspection concepts to drive program effectiveness.	Level 2 Program is advancing the use of Risk-Based Inspection concepts to guide program operations.	Level 3 Program is intentionally applying Risk-Based Inspection concepts throughout operations	Examples Related links and examples for additional information associated with an Element.
Program Performance Measures	<p>Performance measures for the retail food safety program are based on:</p> <ul style="list-style-type: none"> percentage high-risk inspections completed quality assurance program for inspection uniformity <p>Measurement <u>not</u> well linked to food safety public health metrics such as the identification and reduction of foodborne illness Risk Factors.</p>	<p>Performance measures for the retail food safety program are an evaluation of food safety inspection program effectiveness that includes:</p> <ul style="list-style-type: none"> Identification Risk Factor violations Identify trends of Risk Factor violations Inspection frequency prioritized for higher-risk establishments Established quality assurance program for Risk-Based Inspection uniformity 	<p>Performance measures for the retail food safety program are <u>intentional and focused</u> on the identification and reduction of foodborne illness Risk Factors such as:</p> <ul style="list-style-type: none"> Response to foodborne illness complaints Percentage of compliance and enforcement actions are taken on foodborne illness Risk Factors Monitoring of Risk Factor violations and action taken on inspection metrics/trends of RF violations Trend analysis of long-term corrective actions, such as targeted interventions for most frequently cited Risk Factor Periodic re-evaluation 	<ul style="list-style-type: none"> FDA Retail Risk Factor Study Toolkit VNRFRPS Standard 4 VNRFRPS Standard 6 VNRFRPS Standard 9 Retail Food Risk Factor Study Data Collection Tool

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Standardization	Staff are not routinely standardized or re-standardized.	New staff are routinely standardized within 24 months of hire. Staff are sometimes re-standardized every 36 months.	Standardization officer role within the agency. New staff are nearly always standardized within 18 months of hire. Staff are routinely re-standardized every 36 months or less. Achieving and maintaining standardization is a priority for leadership.	<ul style="list-style-type: none"> FDA Standardization
Inspection Frequency Based on Foodborne Illness Risk Factors <i>*Builds on previous level</i>	Inspection frequency is based on the level of potential foodborne illness risk: <ul style="list-style-type: none"> Food processes Population served (Highly Susceptible Population) Business operations (type/scope, water source) 	<i>* Builds on previous level and</i> <ul style="list-style-type: none"> Verifies food processes through menu review Volume of food served Non-compliance history of Risk Factors Special processes 	<i>* Builds on previous level and</i> <ul style="list-style-type: none"> Active Managerial Control demonstration Confirmed foodborne illness outbreaks Use a history of compliance to reduce inspection frequency 	<ul style="list-style-type: none"> FDA Food Code 2022 - Annex 5 VNRFRPS Standard 3 Inspection software using a calculator or matrix to incorporate history
New Inspector Training Program <i>*Builds on previous level</i>	Informal training process for new staff. <ul style="list-style-type: none"> Reviews materials on Risk-Based Inspection methods Observes staff conducting Risk-Based Inspections 	Formal, written training program for new staff. <ul style="list-style-type: none"> Coursework Field Training with staff conducting Risk-Based Inspections 	Formal, written training program for new staff. <i>* Builds on previous level and</i> <ul style="list-style-type: none"> Power skills training (see Examples) Advanced food safety training 	<ul style="list-style-type: none"> Standard 2, Appendix B-2 CFP Field Training Manual <p>Coursework:</p> <ul style="list-style-type: none"> National Curriculum Standards Standard 2, Appendix B-1 courses <p>Level 3 Training examples:</p> <ul style="list-style-type: none"> Culture training (ethnic foods and cultural communication etiquette) De-escalation Techniques Legal/Enforcement Documentation Ethical behavior/ Professionalism Active Managerial Control, Food Safety Culture, Food Safety Management System

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Inspector Performance Measurement	<p>Team lead or Supervisor accompanies and observes the inspector on at least <u>three inspections every five years</u>.</p> <p>Inspection reports are reviewed to determine if Risk-Based Inspection was conducted.</p>	<p>Team lead or Supervisor routinely accompanies the inspector on inspections at least <u>once annually</u> to assess the ability to conduct Risk-Based Inspections consisting of:</p> <ul style="list-style-type: none"> • accurate Risk Factor identification • assessment of dynamic/static Risk Factors • documentation • communication with establishment staff • menu review • use of proper equipment • review of past reports to note Risk Factor history • appropriate on-site corrective actions <p>Inspection reports are reviewed to determine if Risk-Based Inspection was conducted.</p> <p>Inspector performance reviews include:</p> <ul style="list-style-type: none"> • Observed ability to conduct Risk-Based Inspection • Meeting the Risk-Based Inspection frequency for <i>high-risk</i> establishments 	<p>Team lead or Supervisor routinely accompanies inspector on inspections multiple times per year to <i>evaluate</i> the Risk-Based Inspection quality performance.</p> <p><i>*Builds on previous level and</i></p> <p>Team lead or Supervisor routinely conducts post-inspection quality check.</p> <p>Inspector performance reviews also include:</p> <ul style="list-style-type: none"> • Assessing the level of Active Managerial Control • Evaluation of actions to ensure immediate & long-term control of Risk Factor • Inspection metrics/trends of Risk Factor violations (% violations marked IN/OUT/NO/NA) 	<ul style="list-style-type: none"> • VNRFRPS Standard 4 • Retail Collaborative Active Managerial Control • Active Managerial Control (NNPH) • Active Managerial Control (Fairfax) • Active Food Safety Management (Mecklenburg) • Active Managerial Control Toolbox (Maricopa)

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Long-Term Corrective Action	<p>Information on long-term corrective action strategies is given to businesses to control recurring Risk Factor violations.</p> <p>Limited staff training on long-term corrective action strategies and implementation.</p>	<p>Long term corrective action strategies, such as risk control plans, are created jointly with the business for control of Risk Factor but do not have active follow up.</p> <p>Staff are trained on long-term corrective action strategies and implementation with limited leadership support.</p>	<p>Long-term corrective actions for recurring Risk Factors are consistently used as a coaching tool to promote Active Managerial Control/Food Safety Management Systems and tailored to the business's resources and needs. These actions are created jointly with the business. The inspector prioritizes and actively follows up on the corrective action plan.</p> <p>Staff are trained on long-term corrective action strategies and implementation with leadership support.</p> <p>The program may conduct educational or coaching visits with business management to discuss recurring Risk Factors and control strategies outside of routine inspections.</p>	<ul style="list-style-type: none"> • FDA Food Code 2022 - Annex 5 • VNRFRPS Standard 3 • VNRFRPS Standard 4 • VNRFRPS Standard 6 • Voluntary Long-Term Corrective Actions: <ul style="list-style-type: none"> ○ Risk Control Plans ○ Standard Operating Procedures (SOPs) ○ Menu modifications ○ Recipe/Process modifications ○ On-site training ○ Equipment or facility modifications • Standard 6 Compliance and Enforcement Strategies
Risk-Based Inspection Training	<p>Inspectors are trained with staff that have been trained in Risk-Based Inspection methods.</p> <p><u>Some inspectors</u> have completed training specific to Risk-Based Inspection methods.</p> <p>Understand Public Health Reasoning and Root Cause Analysis concepts.</p>	<p><u>Most inspectors</u> have completed training specific to Risk-Based Inspection methods.</p> <p>Leadership support for Risk-Based Inspection staff training.</p> <p>Understand and apply Root Cause Analysis in daily activities.</p>	<p>Training specific to Risk-Based Inspection is required for <u>all inspectors</u> within 2 years of hire.</p> <p>Leadership budgets for Risk-Based Inspection staff training.</p> <p>Understand and apply Root Cause Analysis to apply effective interventions/ corrective actions to prevent Risk Factor occurrence.</p>	<ul style="list-style-type: none"> • FD218 Risk-Based Inspection Methods at Retail or equivalent training • FD 215 Managing Retail Food Safety or similar training • Root Cause for Retail Food Safety • Regulator's Manual for Risk-Based Inspections

Additional Resources

[Why Risk-Based Inspections Matter – NACCHO Infographic](#)

[FDA Voluntary National Retail Food Regulatory Standards](#)

[Employee Food Safety Training Guidance – Conference for Food Protection](#)

[FoodSHIELD](#) - request to join the [Retail Food Program Standards Resource Center](#)

[Risk-Based Inspection Guide – World Health Organization](#)

Special thanks to:

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