

Risk Assessment Process

DeKalb County, Georgia

Process A – Early Intervention

Each establishment that is issued a permit is a potential candidate for the Early Intervention Risk Assessment. To ensure most appropriate use of man hours, national chains or large “scale” establishments are rarely included in this cluster of clients since both usually have the resources and systems in place for food safety risk control. The smaller “scale” operator is the more typical client.

Office: Duration 30-60 minutes
Risk Assessor conducts file review of following

- Physical layout (plans on file)
- Menu

Risk Assessor identifies menu items that may pose the greatest degree of control challenges relative to the CDC Risk Factors

Risk Assessor schedules appointment with owner/operator to conduct risk assessment to ensure that operator has adequate time availability for the successful completion of the process

Establishment: Duration 2 – 4 hours 
Risk Assessor meets with owner/operator and manager or Certified Food Safety Manager (or all where possible)

- Establishment representatives and Risk Assessor discuss the purpose for the meeting in detail and establish communications flow
- The menu items that need to be addressed are mutually agreed upon
- The preparation processes involved for the identified menu items is discussed to determine if the assessment should be more focused on processes or menu items
- Specific food flow is discussed based on the above decision
- Areas of potential breakdown/challenge are identified
- Proactive intervention strategies are developed by establishment representatives (assistance may be provided by Risk Assessor if needed)
- A written Risk Control Plan is drafted and signed
 - Copy left with operator
 - Copy filed in establishment folder upon return to office
- Follow-Up is conducted at a later date (usually four to six months later) to discuss need for re-enforcement of RCP information

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Process B – Non-Compliance Related

The compliance based Risk Assessment is initiated by the inspector who regulates a facility found to be chronically non-compliant or is initiated by the Risk Assessor based on his/her monitoring of inspection scores.

Office: Duration 30-60 minutes
Risk Assessor conducts the following

- Brief meeting with inspector who regulates establishment to discuss chronic compliance failures (gets inspectors input on perceived root cause of failure and severity of conditions)
- File review of physical layout (plans on file)
- File review of menu

Risk Assessor generates a spreadsheet of performance trends for establishment (charts all violations over time to determine occurrence frequency for Risk Factor violations)

Risk Assessor schedules appointment with owner/operator to conduct risk assessment to ensure that operator has adequate time availability for the successful completion of the process

Establishment: Duration 2 – 4 hours
Risk Assessor meets with owner/operator and manager or Certified Food Safety Manager (or all where possible)

- Establishment representatives and Risk Assessor discuss the purpose for the meeting in detail and establish communications flow
- The risk factors that are consistently out of compliance are identified
- Operator's reasons for failed compliance are discussed to identify specific root causes
 - Equipment failure
 - Employees not trained properly
 - Employees fail/refuse to perform tasks properly to prevent violations from occurring
- The procedures that must be involved in effective management of the out of control Risk Factors are discussed
- Proactive intervention strategies are developed by establishment representatives (assistance may be provided by Risk Assessor if needed)
- A written Risk Control Plan is drafted and signed
 - Copy left with operator
 - Copy filed in establishment folder upon return to office
- Follow-Up is conducted at a later date (usually four to six months later) to discuss need for re-enforcement of RCP information