



February 24, 2022

**Performance Audit**

**ENVIRONMENTAL HEALTH  
INSPECTIONS**

Environmental Health Department

22-105

**INSPECTION**

**Passed**

**Failed**

## City of Albuquerque - Office of Internal Audit

### ENVIRONMENTAL HEALTH INSPECTIONS

Performance Audit

February 24, 2022

Audit #22-105

#### Executive Summary

The Office of Internal Audit (OIA) conducted a performance audit of the City of Albuquerque's (City) Environmental Health Department's (EHD) health inspection procedures. EHD regularly inspects restaurants, food preparation establishments, public pools, and other establishments for public health risks or threats to consumer safety, including COVID-19 health inspections. The audit objective was to determine whether EHD follows the proper procedures for conducting health inspections. Specifically, the audit assessed whether EHD complies with the current public health orders and adequately follows requirements while performing inspections. The scope of the audit included inspections performed for restaurants, food preparation establishments, and public pools during the period March 1, 2020 through September 30, 2021. As the COVID-19 pandemic spanned the entire audit period, many of the inspections performed were related to COVID-19.

While the audit found that EHD complies with current public health orders and generally follows requirements while performing health inspections, the audit found that due to reprioritization as a result of the COVID-19 pandemic, some establishments did not receive the required routine inspections required by their permit. Specifically, EHD did not conduct all required health inspections, leaving some restaurants, pools, and other establishments uninspected for public health risks and code violations for longer than required. Some of these establishments paid permit fees but did not receive the required inspections, resulting in the collection of fees for services that have not been provided. From fiscal year 2017 to fiscal year 2021, the Consumer Health Protection Division (CHPD) a division of EHD, collected revenues totaling \$6.63 million from health permits and had associated operating expenses totaling \$5.53 million, thus realizing a \$1.1 million operating surplus. One factor contributing to the surplus, is that expenditures have been lower than they should be due to EHD not routinely inspecting all the establishments for which permit fees have been collected.

According to management, the inspection backlog is primarily due to staff vacancies as a result of turnover and a significant increase in health violations corresponding with the onset of the COVID-19 pandemic. The backlog of required routine inspections may have been exacerbated by the lack of updated policies and procedures, as well as management's decision to prioritize complaints and high-risk violations over routine inspections.

EHD *partially* agrees with the findings and recommendations made. The response of the department is attached as an appendix. OIA will work with the department on the status of the open recommendations made in this report.

#### Recommendations

##### EHD should:

- Work with the Planning Department to ensure that EHD is aware of all establishments that are under its oversight.
- Ensure that the required number of inspections are performed or, where possible, evaluate the practicality of current inspection frequencies to ensure they align with best practices and are achievable.
- Perform a detailed cost analysis to inform inspector staffing needs to determine whether pursuing additional budgeted inspector positions is necessary.
- Revise policies and procedures to reflect current practices, as well as incorporate formal policies to ensure that inspections are performed after businesses have obtained the proper business registration. These formal policies should include procedures for notifying the Planning Department when it becomes aware of businesses operating with the proper registration.

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Environmental Health Department  
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## City of Albuquerque

*Office of Internal Audit*

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February 24, 2022  
Accountability in Government Oversight Committee  
P.O. Box 1293  
Albuquerque, New Mexico 87103

Audit: Environmental Health Inspections-Performance Audit  
Audit No. 22-105

### INTRODUCTION

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The Office of Internal Audit (OIA) conducted a performance audit of the City of Albuquerque's Environmental Health Department's (EHD) health inspection procedures. EHD leads the City of Albuquerque (City) in protecting the immediate and long-term health, safety, and well-being of all citizens. Accordingly, the Department provides services such as restaurant inspections, mosquito control, regional air, and groundwater monitoring, landfill remediation, and climate change mitigation and adaptation efforts. In addition to actively monitoring and safeguarding against health risks, EHD seeks to educate on and promote public health throughout the Albuquerque community.

The audit objective was to determine whether EHD follows the proper procedures for health inspections. Specifically, the audit assessed whether:

- EHD complies with the current public health orders.
- EHD adequately follows requirements while performing inspections.

The scope of the audit included inspections performed for restaurants, food preparation establishments, and public pools from March 1, 2020 through September 30, 2021. The audit is included in OIA's work plan for fiscal year 2022. Further information pertaining to the audit objectives, scope, and methodology can be found in Appendix A.

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## BACKGROUND

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The mission of the EHD is to serve the people of the City by promoting and protecting their environmental health through sustainable management, fiscal accountability, and responsible stewardship through disease prevention and air quality initiatives. As the health authority for the City, EHD strives to provide leadership in improving the health and well-being of the City's citizens.

EHD's Consumer Health Protection Division (CHPD) regularly inspects restaurants, food process establishments, and swimming pools for public health risks or threats to consumer safety. Inspectors identify these risks and provide direction and timelines for mitigating any issues identified. Routine inspections are conducted to assess restaurants, food processing establishments, swimming pools, and other locations for public health risks and threats to consumer safety. Inspectors also review plans or blueprints for the construction of new food and pool establishments. Inspectors identify risks and provide direction and timelines for mitigating any issues identified, which require a subsequent follow-up inspection. Two routine inspections are required to be conducted on all food establishment permit categories within each calendar year. However, new business establishments are required to receive three inspections within their first year. Further, CHPD characterizes establishments that may pose a heightened risk of food contamination due to raw food handling or food establishments that serve vulnerable populations, as higher risk. In addition, Section 10-3-4-5 of the City's Ordinance requires all public swimming pools to be licensed and have a valid permit to operate. CHPD ensures that all public swimming pools are properly constructed and operated in a safe and sanitary manner by conducting annual inspections.

CHPD charges fees to recover the costs of operating the program that conducts these inspections. Permanent food establishments pay an annual fee of 3/10 of 1 percent of their gross sales for the previous 12 months, totaling an annual fee no greater than \$700, and no less than \$200. In addition, swimming pools are inspected at least annually and are assessed a \$180 annual inspection fee. Re-inspections are performed when violations are identified that necessitate correction. However, fees are not charged for re-inspections. Rather, a \$50 nonrefundable hearing fee may be assessed when an establishment faces permit revocation for failure to meet inspection requirements within the required time period, a fourth downgrading<sup>1</sup> or the second suspension within a 36-month period, refusal of entry, or interference with EHD's enforcement authority.

As a result of the COVID-19 pandemic, CHPD began conducting some inspections virtually. Further, due to the pandemic, additional public health orders were instituted which resulted in additional

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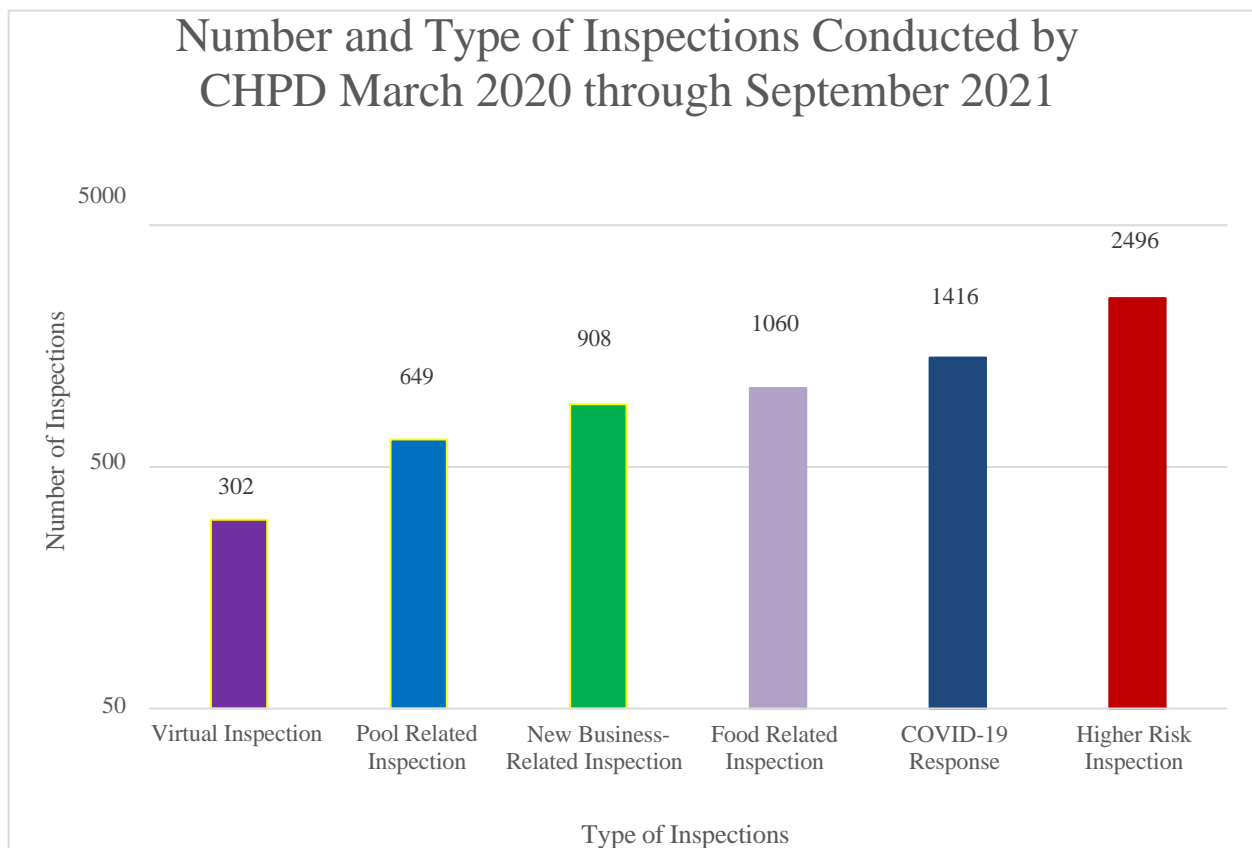
1 - Downgrading is the process by which an inspection rating is reduced to a lower grade.

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guidelines enforced by CHPD. A Declaration of Local Emergency Due to the Novel Coronavirus COVID-19, issued by the Mayor, led to a temporary halt on the collection of permit fees for non-essential businesses in 2021. In addition, \$862,995 in health permit fees paid during the pandemic were subsequently refunded to local businesses during fiscal year 2021.

In fiscal year 2021 CHPD had 3 full-time equivalent (FTE) inspectors due to vacancies and a challenging recruitment landscape as a result of the pandemic. In fiscal year 2022 additional hires brought staffing back to 8 FTE inspectors. From March 1, 2020 through September 30, 2021, these inspectors conducted 6,831 inspections within the scope of the audit. The table below details the number and types of inspections performed by CHPD between March 2020 and September 2021, as reported in Envision.



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## FINDINGS

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1. MANY ESTABLISHMENTS PAID HEALTH PERMIT FEES BUT DID NOT RECEIVE THE ASSOCIATED INSPECTIONS THE PERMIT REQUIRES.

While the audit found that EHD complies with current public health orders and generally follows requirements while performing health inspections, the audit found that due to reprioritization as a result of the COVID-19 pandemic, some establishments did not receive the required routine inspections required by their permit. City Ordinance requires that two routine inspections be conducted on all food establishments per calendar year and new establishments are required to receive three inspections within their first year of business. Additionally, all public swimming pools require an annual inspection. According to CHPD's inspections management system, as of October 19, 2021, 377 establishments had not received their required inspections. OIA selected a sample of 25 past due inspections and found that as of December 2021, 8 (32 percent) of the past due inspections had subsequently been completed. The remaining 17 past due inspections in the sample tested remain outstanding.

Between March 2020 and September 2021, CHPD conducted approximately 3,912 higher risk inspections, including COVID-19 responses, compared to approximately 2,919 routine inspections, including virtual and new business-related inspections, during the same period. This is because management prioritizes conducting higher-risk inspections and re-inspections ahead of conducting routine inspections. However, this new practice is not reflected in current policy. It should be noted that EHD policies were under continuous revision and adaptation throughout the period under audit, in response to COVID-19 safety precautions and State Public Health Orders. According to management, the pandemic impacted all aspects of the Department's mission. Specifically, many facilities were entirely closed or under severely restricted/modified operating conditions. Further, Public Health Orders, COVID-Safe Practice rules and an increase in complaints and enforcement actions resulted in longer times to conduct inspections and times when inspections had to be canceled due to an owner's illness or emergency. Management also reported that inspectors were excluded from reporting to work or under quarantine due to COVID-19 which also impacted the department's ability to conduct inspections.

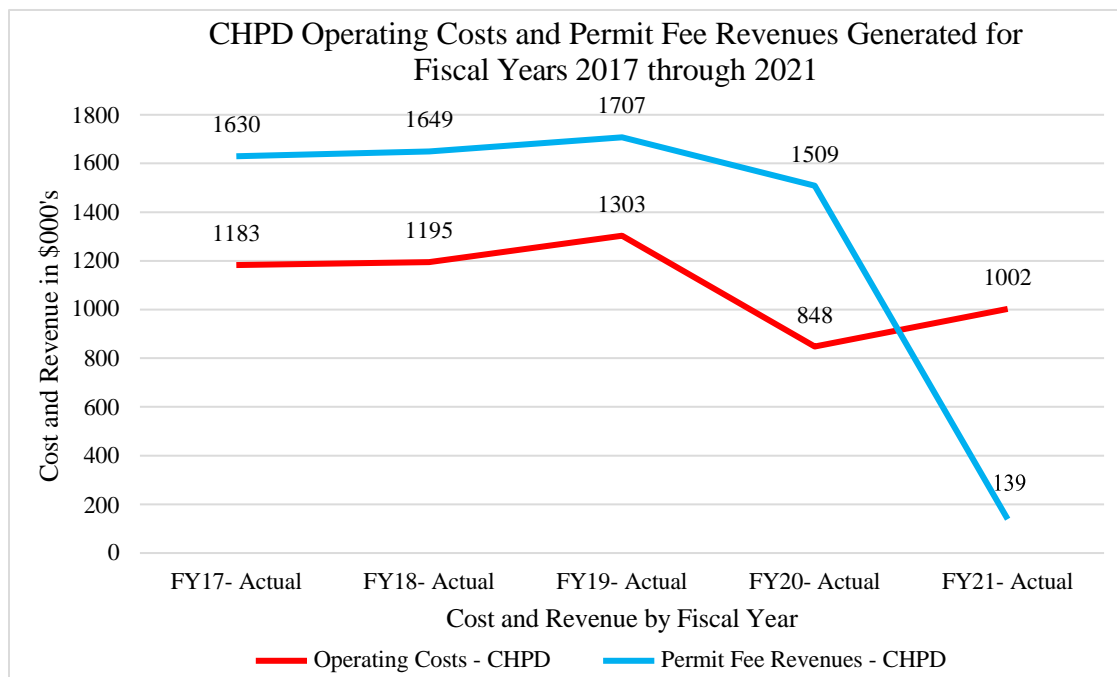
In fiscal year 2021, CHPD had 3 full-time equivalent (FTE) inspectors due to vacancies and a challenging recruitment landscape and in fiscal year 2022 additional hires brought staffing back to 8 FTE inspectors. However, the *Voluntary National Retail Food Regulatory Program*

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*Standards*<sup>2</sup> recommend a staffing level of 1 FTE employee devoted to food for every 280-320 inspections performed per year. Given CHPD’s workload and the rate of inspections in the sample, this would equate to 16 to 18 FTE inspectors needed. Thus, the current staffing level of 8 FTE inspectors is significantly below the *Voluntary National Retail Food Regulatory Program Standards*’ recommended levels.

EHD is authorized to collect fees (as outlined in § 9-6-1-12 of City Ordinance) for the purpose of paying the costs reasonably incurred in administering and enforcing the *Food Sanitation Ordinance*. From fiscal year 2017 to fiscal year 2021, CHPD collected revenues totaling \$6.63 million from health permits and had associated operating expenses totaling \$5.53 million, thus realizing a \$1.1 million operating surplus for the period. The graph below details CHPD’s operating costs and permit fees from fiscal year 2017 to fiscal year 2021.



Source: Created by OIA based on the City’s Budget.

\* Mandates issued by the State of New Mexico and the City led to a temporary halt on the collection of permit fees for non-essential businesses effective January 12, 2021. In addition, \$862,995 in health permit fees paid during the pandemic were subsequently refunded to local businesses during fiscal year 2021.

2 - Developed and recommended by the U.S. Food and Drug Administration with input from federal, state, and local regulatory officials, industry, trade associations academia, and consumers.

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One factor contributing to the surplus, is that expenditures have been lower than they should be due to CHPD not routinely inspecting all the establishments for which permit fees have been collected. Consequently, some establishments paid the permit fee but did not receive the associated routine inspections the permit requires. While the audit did not perform a cost recovery analysis, the audit did analyze health fees amongst comparable jurisdictions. Specifically, OIA noted that the City's fees for permanent food establishments are lower than those of four comparable cities<sup>3</sup>. In addition, OIA noted that all four comparable cities charge a standard reinspection fee averaging \$186.

The projected annual cost of an Environmental Health Specialist II (Grade M15) is between approximately \$71,500 and \$107,400. Should management decide to pursue efforts to increase inspector staffing levels, the operating surplus could be used to fund the additional positions.

RECOMMENDATIONS:

The Environmental Health Department should:

1. Ensure that the required number of inspections are performed or, where possible, evaluate the practicality of current policies and procedures to ensure that established inspection frequencies align with best practices and are achievable.
  2. Perform a detailed cost analysis to inform the inspector staffing needs to determine whether pursuing additional budgeted inspector positions is necessary.
  3. Ensure the decision to prioritize certain inspections and re-inspections over routine inspections is incorporated into formal policies and procedures.
2. INSPECTIONS WERE PERFORMED ON ESTABLISHMENTS THAT DID NOT HAVE THE PROPER BUSINESS REGISTRATION.

EHD lacks policies and procedures to require verification that a valid business registration was obtained from the City's Planning Department (Planning) before a health inspection is conducted. As a result, health inspections are performed on businesses that were not fully authorized to operate.

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3 - The comparable cities were Tucson, Arizona; Portland, Oregon; Fresno, California; and Kansas City, Missouri.



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In a sample of 41 inspections, the audit identified 19 instances where an inspection was performed on a business that did not possess a valid business permit to operate. Specifically, the audit identified 4 instances where the business failed to obtain a business registration and 15 instances where the business' registration had expired or closed prior to the inspection being performed.

Section 13-1-5 of City Ordinance, *Application to do business*, requires that all persons proposing to engage in business within the municipal limits must obtain a business registration from Planning. Therefore, individuals are prohibited from engaging in business activities without first obtaining a business registration. While EHD is not authorized to enforce business permit requirements, which is the responsibility of the Planning Department, health permits issued by EHD are not valid until a certificate of occupancy has been issued by Planning and all related fees have been paid. Per City Ordinance, "all persons proposing to engage in business within the municipal limits of the city shall pay a Business Registration Fee prior to engaging in business." EHD has a Field Operations Officer (FOO) embedded at Planning that becomes aware of most, but not all businesses requiring health inspections. The FOO reviews documentation of construction plans for new or re-modeled food establishments, reviews web content related to CHPD, and corresponds with Planning regarding establishments requiring health inspections. Additionally, inspectors often identify new establishments that fall under their oversight when out in the field or through 311<sup>4</sup> complaints received by citizens.

Standardized policies and procedures can greatly improve the operations and efficiency of an entity by providing uniformity in practices, clear lines of responsibility, accountability, and consistency. According to management, the current practice has already been changed to check business registration prior to issuing a new application.

RECOMMENDATION:

4. The Environmental Health Department should develop formal policies and procedures to ensure that health inspections are performed after establishments have obtained the proper business registration from the City's Planning Department. These formal policies should include procedures for notifying the Planning Department when the department becomes aware of establishments operating without the proper business registration.

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4 - The 311 service is a single telephone number for all non-emergency City of Albuquerque inquiries and services. 311 provides information and takes service requests.

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3. OPPORTUNITIES EXIST TO STRENGTHEN EXISTING INSPECTION POLICIES AND PROCEDURES.

Current EHD policies do not require a secondary review of inspection forms, resulting in inconsistencies in inspection documentation. For instance, the Result/Action section in Envision Connect<sup>5</sup> did not match the comments made by the inspector. Specifically, the inspector's comments stated that the establishment was closed, however, the Result/Action section stated Approved/Compliance. Conversely, in another instance, the Result/Action section stated Approved/Compliance; however, the comments section indicated that the establishment was closed due to imminent health hazards. Additionally, not all inspection reports identify whether pest control documentation was requested or verified during the inspection. According to management, every facility inspected is checked for pest activity. However, pest control records are only verified or requested when pest activity is identified. Formalized policies would encourage consistency in documenting findings and/or violations identified during inspections.

According to management, supervisors review and approve inspection forms to ensure accuracy, consistency, and adherence to the health ordinance. However, this practice is not codified in existing policies and procedures. Additionally, while CHPD rotates inspector geographical assignments every two years, this practice is not reflected in current policies and procedures. These practices help reduce the risk of familiarity of areas and acquaintance with those being inspected, thereby reducing opportunities for corruption, and should be incorporated into formal policy.

According to the *Federal Internal Controls Standards* issued by U.S. Government Accountability Office:

...management periodically reviews policies, procedures, and related control activities for continued relevance and effectiveness in achieving the entity's objectives or addressing related risks. If there is a significant change in an entity's process, management reviews this process in a timely manner after the change to determine that the control activities are designed and implemented appropriately.

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5 - Envision Connect is the software used by CHPD to track complaints, inspections, and other activities related to permitted establishments.

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According to management, EHD is in the process of updating its formal policies and procedures. Written policies and procedures codify management's criteria for executing an organization's operations. Developing and documenting policies and procedures is the responsibility of management; thus, they should document business processes, personnel responsibilities, departmental operations, and promote uniformity in executing and documenting inspections.

#### RECOMMENDATION

5. The Environmental Health Department should continue its efforts to update policies and procedures to reflect current practices, including required supervisory review of inspector forms and periodically rotating location assignments of inspectors.
4. ONE BUSINESS REGISTRATION SAMPLED WAS NOT INCLUDED IN THE EHD INSPECTION DATABASE.

OIA selected a sample of 29 business registrations from Planning's POSSE database, for which health inspections are required and found that one was not included in Envision. While CHPD was aware that the establishment required inspection, formal policies that stipulate the frequency in which follow-ups should be conducted do not currently exist. Consequently, the establishment continued to operate without receiving the proper health inspection(s).

Inspectors often identify new establishments that fall under their oversight when out in the field or through 311 complaints received from citizens. However, without systematic and reliable procedures to ensure all applicable establishments are uniformly monitored, there could be an increased public health hazard risk if establishments continue to operate without having undergone the required inspections. Formalized policies would encourage consistency in performing follow-ups on establishments that require inspections.

#### RECOMMENDATION:

6. The Environmental Health Department should formalize policies and procedures to ensure scheduled follow-ups on establishments that require health inspections are consistently performed.

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## CONCLUSION

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By implementing the recommendations detailed in this report, EHD can improve its ability to effectively administer, manage, and monitor health inspections. EHD's response to the recommendations made is included in APPENDIX B of the report. We greatly appreciate the assistance of EHD throughout this audit and made both their staff and requested documents readily available, as well as the involvement and cooperation of the various Departments and Divisions within the City.

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## APPENDIX A

### OBJECTIVES

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The audit objective was to determine whether EHD follows the proper procedures for health inspections. Specifically, the audit assessed whether EHD complies with the current public health orders and adequately follows requirements while performing inspections.

### SCOPE AND LIMITATIONS

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The scope of the audit included inspections performed for restaurants, food preparation establishments, and public pools from March 1, 2020 through September 30, 2021. The audit is included in OIA's work plan for fiscal year 2022.

This report and its conclusions are based on information taken from a sample of financial records, systems, and users and does not represent an examination of all related financial records, systems, and users for the health inspection programs. The audit report is based on our examination of functions and activities through the completion of fieldwork in December 2021, and does not reflect events after that date. City management is responsible for establishing and maintaining effective internal control and complying with laws and regulations.

In performance audits, a deficiency in internal control exists when the design or operation of a control does not allow management or employees, in the normal course of performing their assigned functions, to prevent, or detect and correct (1) impairments of effectiveness or efficiency of operations, (2) misstatements in financial or performance information, or (3) noncompliance with applicable laws, regulations, standards, guidelines, and/or best practices. A deficiency in design exists when (a) a control necessary to meet the control objective is missing or (b) an existing control is not properly designed so that, even if the control operates as designed, the control objective is not met. In the performance audit requirements, the term significant is comparable to the term material as used in the context of financial statement engagements. A deficiency in operation exists when a properly designed control does not operate as designed, or when the person performing the control does not possess the necessary authority or qualifications to perform the control effectively.

Our consideration of internal control was for the limited purpose described in our audit objectives and was not designed to identify all deficiencies in internal control. Therefore, unidentified efficiencies may exist. Accordingly, we do not express an opinion on the effectiveness of the City's internal control.

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As part of the performance audit, we tested the City’s compliance with applicable laws, requirements, and regulations. Noncompliance with these requirements could directly and significantly affect the objectives of our audit. However, opining on compliance with all provisions was not an objective of our performance audit, and accordingly, we do not express an opinion.

We conducted this performance audit in accordance with generally accepted government auditing standards for performance audits, as prescribed in *Government Auditing Standards*, issued by the Controller General of the United States. Those standards require that we plan and perform the audit to obtain sufficient, appropriate evidence to provide a reasonable basis for our findings and conclusions based on our audit objectives. We believe that the evidence obtained provides a reasonable basis for our findings and conclusions based on our audit objectives.

## METHODOLOGY

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Methodologies used to accomplish the audit objectives include but are not limited to the following:

- Interviewed management regarding staffing, procedures, and processes;
- Reviewed and analyzed applicable City policies, procedures, and regulations;
- From a population of 4,649 inspections performed from a time period of March 1, 2020 through September 30, 2021 and obtained from the Envision database, selected a sample of 41 inspections and performed the following:
  - Verified whether establishments with current business permits also had current health permits,
  - Ensured inspections performed timely,
  - Ensured Zoom inspection forms were completed, as applicable,
  - Confirmed proper review and approval were obtained for each inspection within CHPD;
- Compared similar inspections for consistency in pass/fail decisions made by inspectors;
- Verified communication provided to establishments by CHPD aligned with CDC, FDA, and Public Health Orders;
- From a population of 377 establishments indicated as past due as of October 19, 2021; selected a sample of 25 establishments and performed the following:
- Verified CHPD performed the required inspection to bring the establishment current;
- Tested the completeness of health permit data by tracing a sample of 29 business registrations obtained from POSSE database (which is maintained by Planning) and verified the existence of associated permit in Envision;
- Conducted an Observation of a Zoom health inspection performed by a CHPD inspector;

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- Analyzed the trends in operating costs and inspection fee revenues and benchmarking health inspection fees with comparable jurisdictions;
- Analyzed trends in the number and types of inspections performed during the audit period;
- Summarized all findings and provided the auditee with recommendations that will help to strengthen internal control, cost savings, and operating efficiency and effectiveness.



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## APPENDIX B

### Recommendations and Responses

For each recommendation, the responsible agency should indicate in the column labeled *Department Response* whether it concurs, does not concur, or partially concurs and provide a brief explanation. If it concurs with the recommendation, it should indicate the expected implementation date and implementation plan. If the responsible agency does not concur or partially concurs, it should provide an explanation and an alternate plan of action to address the identified issue.

Recommendation	Responsible Party	Department Response	<u>OIA Use Only</u> Status Determination*
<p>The Environmental Health Department should:</p> <p>1. Ensure that the required number of inspections are performed or, where possible, evaluate the practicality of current policies and procedures to ensure that established inspection frequencies align with best practices and are achievable.</p>	<p>Environmental Health Department</p>	<p><input type="checkbox"/> Concur <input type="checkbox"/> Do Not Concur <input checked="" type="checkbox"/> Partially Concur</p> <p>While EHD agrees that the required number of inspections should always be performed when possible, it is important to consider the context of the ongoing COVID-19 Pandemic in evaluating the extent to which meeting inspection targets is possible. The entire period under audit fell within active emergency conditions, and many factors influenced the ability of CHPD to meet inspection thresholds, from staff shortages, employee quarantine requirements, and forced exclusion of personnel to food facilities being closed or under restricted or modified operating conditions. In addition, CHPD inspectors were among the City’s primary frontline enforcement authorities for COVID compliance, which added a significant burden to their workload, much of which was not able to be captured as traditional inspections. Anticipated ordinance changes in the second half</p>	<p><input checked="" type="checkbox"/> Open</p> <p><input type="checkbox"/> Closed</p> <p><input type="checkbox"/> Contested</p>

Recommendation	Responsible Party	Department Response	<u>OIA Use Only</u> Status Determination*
		<p>of 2022 will redefine inspection targets to align with risk, and filling of vacancies is expected to bolster productivity. EHD will re-evaluate outcomes once those conditions are met, which is likely to be possible in 2023.</p> <p><u>ESTIMATED COMPLETION DATES</u> 2023</p>	
<p>2. Perform a detailed cost analysis to inform the inspector staffing needs to determine whether pursuing additional budgeted inspector positions is necessary.</p>	<p>Environmental Health Department</p>	<p><input checked="" type="checkbox"/> Concur <input type="checkbox"/> Do Not Concur <input type="checkbox"/> Partially Concur</p> <p>EHD agrees that the City’s fees for permanent food establishments are lower than those of comparable cities and that based on the Voluntary National Retail Food Regulatory Program Standards’ recommendations CHPD should be staffed at a higher level. However, the General Fund appropriations do not match revenue. Therefore, there is not a “surplus” in the CHPD budget.</p> <p>EHD Agrees that a detailed cost analysis to inform the inspector staffing needs to pursue additional budgeted inspector positions is necessary. EHD Finance will conduct said cost analysis.</p> <p><u>ESTIMATED COMPLETION DATES</u> April 22, 2022</p>	<p><input checked="" type="checkbox"/> Open <input type="checkbox"/> Closed <input type="checkbox"/> Contested</p>
<p>3. Ensure the decision to prioritize certain inspections and re-</p>	<p>Environmental Health Department</p>	<p><input checked="" type="checkbox"/> Concur <input type="checkbox"/> Do Not Concur <input type="checkbox"/> Partially Concur</p>	<p><input checked="" type="checkbox"/> Open <input type="checkbox"/> Open <input type="checkbox"/> Closed</p>

Recommendation	Responsible Party	Department Response	<u>OIA Use Only</u> Status Determination*
inspections over routine inspections is incorporated into formal policies and procedures.		<p>In practice, CHPD prioritizes inspections and re-inspections based on the identification of a health hazard during the course of a routine inspection or as part of an Epidemiological investigation (foodborne/waterborne illness).</p> <p>Re-inspections, or follow-up inspections, are incorporated into the Food Sanitation Ordinance as well. The Food Sanitation Ordinance requires a follow-up inspection to be conducted 5 days after a closure or corrective action requiring time for completion by facility.</p> <p>Currently, CHPD is working to formalize how inspections are conducted, from start to finish, based on US Food and Drug Inspection Form elements and the FDA Food Code, as part of our Uniform Inspection Program, Quality Assurance/Quality Control Plan (QA/QCP). Guidelines developed regarding risk-based inspection and inspection prioritization will be implemented into the Employee Handbook.</p> <p><u>ESTIMATED COMPLETION DATES</u></p> <p>May 13, 2022</p>	
4. Develop formal policies and procedures to ensure that health inspections are performed after establishments have obtained the proper business registration from the City's	Environmental Health Department	<p><input type="checkbox"/> Concur <input type="checkbox"/> Do Not Concur <input checked="" type="checkbox"/> Partially Concur</p> <p>For purposes of this audit, EHD is empowered to enforce the Food Sanitation Ordinance and Swimming Pool Ordinance. EHD is not authorized to enforce the ordinance requirement pertaining to business registration requirements. Withholding inspections related to EHD permits</p>	<p><input checked="" type="checkbox"/> Open</p> <p><input type="checkbox"/> Closed</p> <p><input type="checkbox"/> Contested</p>

Recommendation	Responsible Party	Department Response	<u>OIA Use Only</u> Status Determination*
<p>Planning Department. These formal policies should include procedures for notifying the Planning Department when the department becomes aware of establishments operating without the proper business registration.</p>		<p>based on any business registration, current or otherwise, would represent an expansion of EHD's legal authority.</p> <p>EHD may inform the Planning Department via email when an inspector identifies that a facility does not have a current business registration. This will only occur during the course of CHPD inspectors' routine enforcement activities or inspections.</p> <p>Formal email notification will be included as a process or policy in CHPD's Uniform Inspection Program, Quality Assurance/Quality Control Plan (QA/QCP) along with staff training on email notification to Planning Department. Guidelines developed regarding notification to Planning of facilities lacking current business registration will be implemented into the Employee Handbook.</p> <p>Additionally, updates to the Health Permit Application process and written SOP's (currently in development) will aid in ensuring that business registrations are obtained prior to the issuing of a permit.</p> <p><u>ESTIMATED COMPLETION DATES</u></p> <p>April 8, 2022</p>	
<p>5. Continue its efforts to update policies and procedures to reflect current practices, including required</p>	<p>Environmental Health Department</p>	<p><input checked="" type="checkbox"/> Concur <input type="checkbox"/> Do Not Concur <input type="checkbox"/> Partially Concur</p> <p>CHPD currently reviews inspector forms prior to formalizing the Media Report. The Media Report provides a listing of weekly inspections which</p>	<p><input checked="" type="checkbox"/> Open <input type="checkbox"/> Closed <input type="checkbox"/> Contested</p>

Recommendation	Responsible Party	Department Response	<u>OIA Use Only</u> Status Determination*
supervisory review of inspector forms and periodically rotating location assignments of inspectors.		<p>are available to the public via media outlets and on the CHPD website. The Media Report includes inspector comments and facility's outcome.</p> <p>CHPD agrees to create an SOP to address the Media Report and how it may be used as an additional tool for auditing inspection reports.</p> <p>Supervisory review of inspection forms is being formalized in the current Consumer Health Protection Division (CHPD), Uniform Inspection Program, Quality Assurance/Quality Control Plan (QA/QCP). CHPD agrees that additional training is needed for current supervisory staff to utilize the existing Crystal Reports in a meaningful way.</p> <p>Ongoing training of inspection staff is occurring and will continue to occur as QA/QC plan is finalized.</p> <p>Staff rotate location assignments every two years. CHPD will formally address staff rotations in the current Employee Handbook.</p> <p><u>ESTIMATED COMPLETION DATES</u></p> <p>April 8, 2022</p>	
6. Formalize policies and procedures to ensure scheduled follow-ups on establishments that require health inspections are consistently performed.	Environmental Health Department	<p><input type="checkbox"/> Concur <input type="checkbox"/> Do Not Concur <input checked="" type="checkbox"/> Partially Concur</p> <p>The existing Food Sanitation Ordinance identifies when a scheduled follow-up should take place at a facility, 5 days after closure.</p>	<p><input checked="" type="checkbox"/> Open</p> <p><input type="checkbox"/> Closed</p> <p><input type="checkbox"/> Contested</p>

<b>Recommendation</b>	<b>Responsible Party</b>	<b>Department Response</b>	<b><u>OIA Use Only</u> Status Determination*</b>
		<p>Currently, CHPD is working to formalize policies and procedures to address scheduled follow-ups on establishments where corrective action is needed as well as consistent and uniform performance of health inspections. Training of inspection staff is ongoing and will continue to occur as QA/QC plan is finalized.</p> <p><u>ESTIMATED COMPLETION DATES</u></p> <p>May 13, 2022</p>	