

2012

**STANDARD 8 STAFFING LEVEL
ASSESSMENT WORKBOOK;
INSTRUCTION GUIDE**

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Purpose: This information is being provided to assist with the application and use of the Standard 8 Staffing Level Assessment Workbook.

Overview: The *Standard 8 Staffing Level Assessment Workbook* was created with the intent of assisting enrolled jurisdictions in calculating their agency's Inspection to Full Time Equivalent (FTE) ratio. An agency enrolled in the *Voluntary National Retail Food Regulatory Program Standards*, will assess their program's staffing levels as part of *Standard 8, Program Support and Resources*. In addition to the contents of Standard 8, a *Self Assessment and Audit Disk* is provided to jurisdictions which contain a *Guide to Audit, Guide to Self Assess, and Self Assess and Audit Form*. While the *Guide to Self Assess* for Standard 8 provides additional direction and examples on assessing staffing levels, the *Standard 8 Staffing Level Assessment Workbook* provides the ability to enter information into an Excel format. The workbook allows a jurisdiction to customize the workbook to their needs while providing a structured framework for assessing staffing levels. Once staffing levels are assessed using the workbook, the data are easily accessible for analysis, maintenance, and revision. Each of these resources for Standard 8 supports each other and should be utilized as a combined resource rather than a stand alone application.

The format of the workbook was designed to maintain the staffing level information in a manner that could be easily edited and printed without inadvertently affecting formulas and calculations. Each worksheet within the workbook has the view set to *Page Layout* to maintain the visual aspect of how the information will print. When viewing a worksheet, the primary print sheet displays while the secondary print sheet is located to the right, the tertiary print sheet is below the primary print sheet, and the final print sheet is below the secondary print sheet. The information provided in the worksheets is limited to the primary and secondary print sheet; however, agencies may utilize the other print sheet areas for customized application information. As for references to the information in a worksheet throughout this instruction guide, the terms primary print sheet and secondary print sheet are used.

Several worksheets have drop selections for several cells on the primary print sheet which are populated from customized lists on the secondary print sheets. To maintain the functionality of this aspect on each worksheet, the location of the customized lists should not be altered. An agency may customize the references in the prepopulated lists by editing the information in each cell of the list directly. To view the drop selections for a particular cell on the primary print sheet simply select that cell by clicking in the cell and a down arrow appears to the right of the cell. Click on the down arrow to view the selections.

Additionally, several worksheets have tables for calculating activity time for Food Safety Inspection Officers (FSIOs). The workbook was designed for an agency to enter the information once for FSIOs versus entering information for each individual. Thus the approach to utilizing these tables is to enter values that are the best estimate or average for all FSIOs. The same would apply for the additional tables for trainers, supervisors, and managers if an agency has multiple positions in these categories. Given the nature of the calculations, utilizing the best estimate or average approach will give agencies a valuable measure. However, if an agency has a large number of staff, staff who is diversified in their program assignments, or other confounding factors, they have the ability to modify the worksheets or tables within the worksheet to fit their needs by copying and utilizing multiple worksheets, tables, or other applications provided. Since each worksheet applies a different logic and compensates for different elements, it is recommended an agency apply information to all of the worksheets before making any modifications to the workbook. It is possible that what is identified as a needed modification in one worksheet may be addressed in an application in another worksheet.

Finally, it is important to note that any modifications to the worksheets should occur on the primary print sheet and not the secondary print sheet to protect populated selections. Also important to note is that any modifications of tables may affect the populated calculations or selections. It is recommended that modifications to the workbook be evaluated and applied by the agency's personnel who are trained and have a high level of expertise in Excel applications. Having a master copy of the workbook to refer back to prior to making modifications is highly recommended. The intent of this workbook was to give a framework for staffing level assessment utilizing an Excel workbook and be able to be customized to fit any agency's needs.

Assessment Workbook Components and Guidance:

STEP 1: FTE Conversion Factor Worksheet:

Purpose: Determine Full-Time Equivalents (FTE): the number of productive hours contributed by one person working full-time for one year.

The *Guide to Self Assess* for Standard 8 gives us the following guidance pertaining to this worksheet:

Factors to Consider:

- If three people devote 1/3 of their productive time to food inspections for one year, that is one full-time equivalent devoted to food inspections. Organizations use a variety of formulas to arrive at the productive hours of one full-time employee. The number of productive hours that represent an FTE can range from 1100 to 1500 hours depending upon the average number of hours allotted for leave, training, and administrative time. For convenience sake, let us call the number of productive work hours the FTE conversion factor.

Note: The FTE Conversion Factor is cell E13 on this worksheet. This FTE Conversion Factor is automatically applied on the FTE Data Supplement Sheet (cell C1).

- Let us look at what should and should not be included in the calculation to determine the total productive work hours for one individual or the FTE conversion factor. Assuming a forty-hour work week and fifty-two weeks in a year, there are 2080 total work hours available to a person in a year. However, not all of those hours will be spent in producing a work product. The following activities should not be included as part of the conversion factor:

1. Holiday time,
2. Vacation time,
3. Sick leave time,
4. Travel time to establishments,
5. Training time for the inspector, or
6. Time spent in the office completing paperwork or returning phone calls.

Data Entry: Examples 1-3 above are represented by cells E6-E9 on this worksheet. If any of these options do not apply then a '0' should be entered into the cell. Cell E11, Productivity Adjustment, may be used to factor in travel time and office time. Additionally cell E12, Personal Development Time, may be used to factor in training time for the FSIO (See definition worksheet for explanations of Productivity Adjustment and Personal Development Time).

- Some jurisdictions may also exclude the time allotted for lunch and work breaks. Most jurisdictions of moderate size will have a personnel department, a human resource department, or a budgeting department that has calculated the average administrative overhead time for each position category or perhaps has established an FTE conversion factor. This may be some of the documentation that the jurisdiction supplies as source documentation.

Note: If a jurisdiction wishes to factor in these elements, they may do so as part of the Productivity Adjustment, cell E11.

STEP 2: FTE Data Supplement Worksheet:

Purpose: Determine Food Safety Inspection Hours for each program position: the number of annual productive food safety inspection hours contributed by each position category working in the inspection program.

The *Guide to Self Assess* for Standard 8 gives us the following guidance pertaining to this worksheet:

- Only the time for personnel conducting inspections should be included in the ratio figure. Time for support and administrative personnel may not be included. Clerical support persons and administrators generally do not perform field work, and it is not appropriate to include portions of their time here. While they contribute to and are very important to the effective functioning of the “program,” they do not add to the inspection capacity. As an example, however, if a supervisor functions as a working supervisor, i.e., he/she performs some amount of inspectional work or conducts compliance follow-up inspections, conducts formal or informal hearings, etc., then that portion of time spent on field work should be counted as inspectional personnel time. The portion of their time spent preparing or reviewing reports and performing administrative tasks, however, should not be counted. The Standard requirement is intended to establish a workload ratio for personnel conducting field work directly related to the inspectional tasks.

Note: The FTE Conversion Factor is automatically populated from the previous sheet and is cell C1 on this worksheet.

Data Entry:

1. *First an agency defines the various positions that contribute to the activities included in the staffing level assessment. An example of positions is provided on the secondary print sheet in cells I20-23. Each agency may customize these examples to reflect the position terminology within their agency. These cells populate selection items in cells A2, A14, and A22 on the primary print sheet.*

- 2. Second an agency defines the various assignments/activities each position executes which would be included in the staffing level assessment. An example of assignments/activities is provided on the secondary print sheet in cells I2-16. These examples mirror those that are provided in the Standard 8 language. Each agency may customize these examples to reflect the position terminology within their agency. These cells populate selection items in cells A4-11, A16-19, and A24-26 in the primary print sheet.**
- 3. Third the agency would select the positions and assignments utilizing the drop selections for the referenced cells above on the primary print sheet. The worksheet is formatted to select and enter activities for your primary inspection staff in the first table (i.e. inspectors) and various supporting staff in the tables below (i.e. trainers, supervisors, managers).**

 - a. Since FSIOs typically execute more activities and productive annual hours contributable to the staffing level assessment than other positions, the first table is reserved for this position category and allows for a variable calculation based on percent of work time contributable to an activity or productive annual hours.**
 - b. Since other food inspection program staff such as trainers, supervisors, and managers may also perform activities contributable to the staffing level assessment, additional tables are provided to allow for inclusion of productive annual hours for each activity.**
- 4. Fourth the agency would enter the appropriate values for the first table (inspector position) in cells B4-B11 or C4-C11 based on the following:**

 - a. An agency may have FSIOs contribute a percentage of their time in the various activities in a program. For this application, an agency can enter the percentage contributable for each activity in cells B4-B11 in the primary print sheet. Once information for each cell is entered, the Productive Annual Hours for each activity will automatically be populated in the subsequent cell to the right. This is populated from that cell's established formula using the information from the percentage cell and the FTE Conversion Factor.**
 - b. An agency may not apply percentages for each activity and apply set hours for each activity. For this application, delete the formulas from cells C4-C11 and enter the total Productive Annual Hours for each activity. Please note that the formula for cell C12, Food Safety Inspection Hour Total, should not be deleted as this cell populates information in cell B3 on the FTE Data Supplement Summary worksheet.**
- 5. Fifth the agency would enter the Productive Annual Hours for each activity in cells B/C16-B/C19 and B/C24-B/C26 in the subsequent tables. Cells B/C20 and B/C27 populate information in cells B4 and B5 on the FTE Data Supplement Summary worksheet.**
- 6. This worksheet also allows for an agency to provide the position description and supporting information to the right of each table. This is useful for explaining agency specific terminology, activity specifics, position specifics, etc.**

STEP 3: FTE Data Supplement (Non-FS) Worksheet:

Purpose: Determine Non-Food Safety Inspection Hours for each program position: the number of annual non-food safety inspection hours contributed by each position category which should not be included in the staffing level assessment.

Note: The previous FTE Data Supplement worksheet utilizes the FTE Conversion Factor in the calculations for productive annual hours in the first table (FSIO category position). Since agencies may not have FSIOs who are 100% dedicated to the food inspection program, the percentage total in cells B4-B11 may not add up to 100% as a percentage of that position's time may apply to other programs. Thus the FTE Data Supplement (Non-FS) worksheet is provided to factor these non-food safety inspection hours out of the food safety inspection hours total, cell C12, calculated on the FTE Data Supplement worksheet.

Note: If FSIOs in a food inspection program have 100% of their FTE dedicated to activities contributable to the staffing level assessment, the FTE Data Supplement (Non-FS) worksheet does not have to be addressed or applied. This is also true for any trainer, supervisor, or manager positions factored in the spreadsheet as their activities were applied as hours not percentages in the FTE Data Supplement worksheet.

Note: If an agency finds that the applications in the FTE Data Supplement (Non-FS) worksheet are need for multiple positions, the table can be copied and modified to accommodate needs and multiple positions. The data validation logic which populates the Position Category, cell A/B/C2, and the Non-Food Safety Assignment/Activity, cells A9-A14, should carry through their logic as long as the tables are copied onto the same worksheet. However, the if multiple copies of this worksheet are applied, the calculation reference on the FTE Data Supplement Summary worksheet in cell D7 would have to be modified to include all additional copies of the FTE Data Supplement (Non-FS) worksheet.

Data Entry:

- 1. First an agency defines the various positions that contribute to the activities included in the staffing level assessment. An example of positions is provided on the secondary print sheet in cells H24-27. These should match the position descriptions utilized on previous worksheets. These cells populate selection items in cell A/B/C2 on the primary print sheet.*
- 2. Second an agency defines the various assignments/activities each position executes which would be included in the staffing level assessment. An example of assignments/activities is provided on the secondary print sheet in cells H2-19. Each agency may customize these examples to reflect the position terminology within their agency. These cells populate selection items in cells A9-14 in the primary print sheet.*
- 3. Third the agency would select the positions and assignments utilizing the drop selections for the referenced cells above on the primary print sheet.*

4. *Fourth the agency would enter the appropriate values for Activities Per Year, cells B9-B14, and Hours Per Year, cells C9-C14 for each assignment/activity. An agency may not have the need to enter the activities per year but rather apply a total hours per activity which represents hours spent on that activity over a year. For this application, an agency will enter a "1" for number of Activities Per Year and enter their hours per activity. Once all values are entered, the Total Activity Hours will be populated in cells D9-D14. These Total Activity Hours will populate the Non-Food Safety Assignment/Activity Hour Total in cell D15. Cell D15 populates information in cell D7 of the FTE Data Supplement Summary worksheet.*
5. *This worksheet also allows for an agency to provide supporting information and explanation in the cell under the position category in the table. This is useful for explaining agency specific terminology, activity specifics, position specifics, etc.*

STEP 4: FTE Data Supplement Summary Worksheet:

Purpose: Determine Food Safety Inspection Hours for all program positions: the number of annual food safety inspection hours contributed by all position categories which should not be included in the staffing level assessment.

Note: The previous FTE Data Supplement and FTE Data Supplement (Non-FS) worksheets populate cells B3-B5 and D7 in the FTE Data Supplement worksheet.

Data Entry:

1. *First an agency defines the various positions that contribute to the activities included in the staffing level assessment. An example of positions is provided on the secondary print sheet in cells H2-H5. These should match the position descriptions utilized on previous worksheets. These cells populate selection items in cell A3-A5 on the primary print sheet.*
2. *Second an agency enters the number of staff for each position category in cells C3-C5. Once all values are entered, the Position Category Food Safety Inspection Hour Total will populate in cells D3-D5. These will populate the Food Safety Inspection Hour Total in cell D6. Cell D8, Annual Food Safety Inspection Hour Total, populates utilizing the information from cells D6 and D7. Cell D9, Total FTE Provided populates utilizing the information from cell D8 and the FTE Conversion Factor, cell E13, of the FTE Conversion Factor worksheet. Cell D9, Total FTE Provided populates information in cell B4 of the Inspection to FTE Ratio worksheet.*

STEP 5: Inspection Data Worksheet:

Purpose: Determine the type and number of food safety inspection activities for the program: the type and number of annual food safety inspection activities contributing to the staffing level assessment as defined in Standard 8.

The *Guide to Self Assess* for Standard 8 gives us the following guidance pertaining to this worksheet:

Determine Number of Inspections:

- For the purposes of this standard, “inspections” are defined as routine inspections, re-inspections, complaint investigations, outbreak investigations, compliance follow-up inspections, risk assessment reviews, process reviews, variance process reviews, foodborne illness complaint response, final construction inspections and other direct establishment contact time such as on-site training that is performed by the field inspection staff. If the same personnel who conduct inspections of the fixed-site establishments also conduct the inspections of temporary events and mobile units, then these inspection events should also be counted as “inspections” for purposes of calculating the workload ratio.
- Any calculation that uses only routine inspection counts would be suspect unless unusual circumstances exist or unusual justifications that can be provided. Special justifications or unusual circumstances must be evaluated on a case-by-case basis.
- Jurisdictions may have an automated or manual tracking system for counting the number of inspections/contacts or the number of hours spent on inspectional activities. If the system measures total hours only, then there would need to be estimates or formulas for the average inspection time in order to arrive at a number of inspections. A jurisdiction might also arrive at the number of inspections by calculating the number of permits in various categories and multiplying the number of permits by the number of required or average visits to each of those facilities categories.
- Whatever the form or format of the data collected, the jurisdiction must eventually arrive at an estimate of the number of on-site contacts made in a year.

Note: This worksheet is listed here in the steps of the process to keep with the flow of the worksheets and information which feeds into each other, however, this worksheet could be completed at any point in the process. An agency may find that completing this worksheet first helps to understand the data that should be included in previous worksheets.

Data Entry:

1. *First an agency defines the various types of food safety inspections that contribute to the staffing level assessment as defined in Standard 8. An example of positions is provided on the secondary print sheet in cells D2-D14. These examples mirror those that are provided in the Standard 8 language and the Guide to Self Assess. These cells populate selection items in cell A4-A16 on the primary print sheet.*
2. *Second an agency enters the number of food safety inspections in cells B4-B16. Once all values are entered, the Total Annual Number of Food Safety Inspections will populate in cell B17. This cell will populate the Total Annual Number of Food Safety Inspections in cell B3 on the Inspection to FTE Ratio worksheet.*

STEP 6: Inspection-FTE Ratio Worksheet:

Purpose: Determine the annual number of food safety inspection activities per FTE in the program: the number of annual food safety inspection activities per FTE dedicated to the program as defined in Standard 8.

Note: The tab for this worksheet is highlighted to indicate that the information needed to assess if an agency meets the staffing level requirement of Standard 8 is found on this worksheet. Information for this worksheet is populated from previous worksheets and provides the Inspection to FTE Ratio in cell B5. As noted in the Table Notes field on this worksheet, the Inspection to FTE Ratio should fall between 280 and 320 to meet the staffing level section of Standard 8. Values above 320 would indicate that the program is lacking adequate FTE to meet this part of the Standard.

ADDITIONAL INFORMATION: Definitions Worksheet:

Purpose: Provide definitions behind references and titles in the various worksheets: While this instruction guide provides detailed information on the steps and elements of the workbook applications, the definitions worksheet provides some common references for quick reference and to assist in accessible clarification when working with the workbook.