

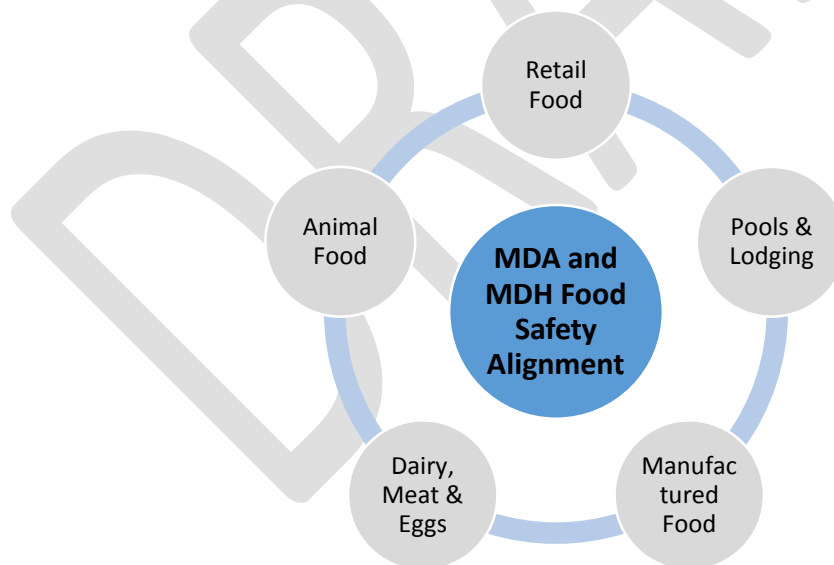
# Retail Food Licensing and Inspection

## Closer Alignment Preliminary Report

Minnesota  
Department of Health

Minnesota  
Department of Agriculture

October 10, 2014



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## Executive Summary

Minnesota food inspection and licensing authority is given to the Minnesota Departments of Agriculture and Health (the Departments). This authority overlaps significantly in the retail food segments which include grocery stores, restaurants, mobile food vehicles, special events and vendors at farmers markets. In addition, each Department has different statutes, policies and procedures governing retail food inspections, licensing, enforcement penalties and delegation agreements.

Licensees, industry, staff, delegated agencies and stakeholders are impacted by this overlap and these differences. Statutes determine that food businesses that appear the same may be licensed and inspected by different Departments with different procedures and services. These food vendors may also be switched between Departments due to changes in the type or amount of food they sell.

In the spirit of enhancing coordination and customer service, the Departments are seeking to harmonize food inspection activities by simplifying licensing and inspections for businesses and by improving regulatory and enforcement consistency, thereby improving food safety throughout the State.

This Preliminary Review presents recommendations for closer alignment to help solve the current licensing and inspection overlap and differences between the Departments. The recommendations in this report were developed thoughtfully, based on proven methods. These recommendations are from the Minnesota Departments of Agriculture and Health.

The Minnesota Departments of Agriculture and Health propose creating:

- A combined retail food safety group that is located in one of the two current Departments.
- Further future alignment between the combined retail food safety group and other food safety activities within the Departments

The Departments' greater alignment will create a platform for food safety improvement. This platform can help create clearer food safety authority and approaches, more efficient and effective food safety activities, and simplify retail food licensing and inspection.

Additional funding and also time of existing staff is needed to further design the alignment, to get feedback from stakeholders, to create the proposed implementation plan and to align existing retail food procedures.

This report details the recommendation for closer alignment of food safety activities, provides the learnings and reasons for the recommendation made, outlines the proposed request and requested funding and outlines the implementation plan.

## Introduction to This Report

The Departments are seeking to harmonize retail food inspection activities to simplify licensing and inspections for businesses, improve regulatory and enforcement consistency and improve food safety throughout the State.

This Preliminary Review presents recommendations for closer alignment between the Departments to help solve the retail food inspection and licensing overlap and differences. This report content and recommendations are the recommendation of the Minnesota Departments of Agriculture and Health.

This report was developed through a thoughtful, facilitated process where the facilitator recommended and leveraged proven tools and approaches to create the closer alignment recommendations. Details on the method used and the Departments' staff involved in the project are listed in the Appendix.

The goal of this Closer Alignment Preliminary Review is to recommend approaches to improve retail food safety. Specific criteria were used to evaluate closer alignment options.

1. Creating a more consistent authority or approach to retail food licensing, inspection, compliance and other operations.
2. Implementing retail food authority more consistently as measured by:
  - Timely inspections
  - Enforcement to FDA Food Code and
  - Activities that are important to food safety.
3. Simplifying Minnesota retail food licensing and inspection: Who does what, when and why.
4. Recommending a model that is feasible to fund and implement.

## Background

The Minnesota Department of Agriculture (MDA) and the Minnesota Department of Health (MDH) are responsible for retail food inspection in Minnesota. Retail food includes the inspection of grocery stores, restaurants, mobile food vehicles, special events and vendors at Farmers Markets. These Departments issue about 18,000 retail food licenses annually. Each Department conducts inspections under the authority of their respective State statutes and the Minnesota Food Code. Both Departments may delegate licensing and inspection authority to local jurisdictions throughout the State.

The Departments conduct separate food safety activities for retail food, other food types, lodging, and pools. The Departments also conduct non-food safety activities. The licensing and inspection responsibilities of the Departments are detailed in Table 1.

**Table 1: Current Departments' Licensing and Inspection Responsibilities and Alignment**

MDA	MDH
<ul style="list-style-type: none"> <li>•Retail Food Safety</li> <li>•Manufactured Food Safety</li> <li>•Dairy, Meat and Eggs Safety</li> <li>•Animal Feed Safety</li> <li>•Other Activities</li> </ul>	<ul style="list-style-type: none"> <li>•Restaurant Retail Food Safety</li> <li>•Lodging Licensing &amp; Inspection</li> <li>•Pools Licensing and Inspection</li> <li>•Other Activities</li> </ul>

Currently the Departments' retail food inspection authority is identified by MN Rule 4626. However each Department also has separate authority under different Minnesota Statutes. Table 2 outlines the different statutory authority each Department uses to license and inspect retail food.

**Table 2: Departments' Statutory Authority for Retail Food Licensing and Inspection**

MDA	MDH
MN Rule 4626 - Minnesota Food Code	MN Rule 4626 - Minnesota Food Code
MN Statute 17 for Department of Agriculture	MN Statute 157- MDH Food, Pools and Lodging licensing authority
MN Statute 28A for Licensing Food Handlers	MN Statute 144.99- MDH Enforcement for food vendors
Federal CFR 21 Parts 0-1299 (this is FDA's authority to inspect food facilities)	MN Statute 145A- MDH Delegation Authority
MN Statute 31.101 - 31.101 Rules; Hearings; Uniformity with Federal Law	
MN Statute 31 – Food	
MN Statute 34A - Food Law; Inspection and Enforcement	
Minnesota Administrative Rules 1550 – Food General Rules.	

These statutes result in two different retail food inspection programs, each with their own licensing and inspection statutes, policies, fees, procedures, and experiences for licensees.

### Statement of Problem Addressed in this Report

The Minnesota Departments of Agriculture and Health have overlapping retail food authority and different retail food inspections, policies, procedures, licensing, enforcement, fees, compliance authority and procedures, and delegation agreements with local public health agencies and boards. As the food industry has evolved, there is more overlap in Department retail food licensing and inspection jurisdiction. The existing overlap and differences between Departments creates inefficiencies, less than desired results, and confusion for licensees, delegated agencies, staff, industry groups, and stakeholders.

### Impact on Food Vendors Licensees, Industry Groups and Partners

Given the Departments have different statutes, rules, policies and interpretations, procedures, fees, and service tools; licensees are impacted.

- Licensees that look the same to industry groups and to each other may be licensed by different Minnesota Departments. For example, a food truck that sells 51% packaged food is licensed by the MDA. A second food truck that sells 49% packaged food is licensed by the MDH. Once licensed under different agencies, the licensee then experiences different rules, inspections, and fees and receives their information from different sources.
- Licensees may sell a different mix of packaged to prepared foods year to year. One year a licensee may sell a majority of packaged food (licensed by MDA). The next year the licensee may sell a majority of

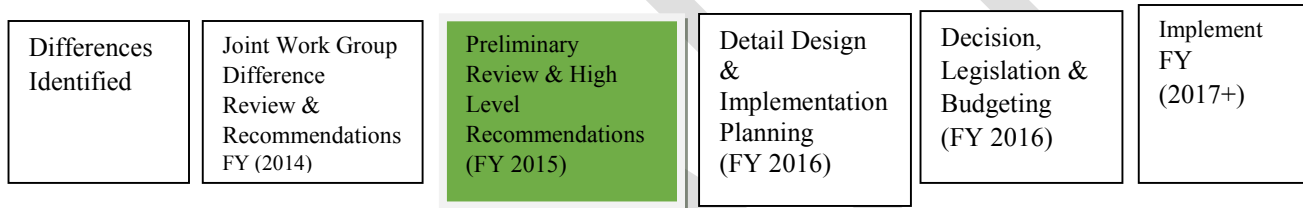
prepared food (licensed by MDH). Therefore when the majority of food type changes, the licensee must get a license and inspection from a different Department. The licensee needs to learn new rules, different procedures, different places to find information and different tools. The Departments estimate approximately 4,700 food vendors could move from one Department to the other annually.

- The Departments delegate some licensing and inspection to county and local agencies. MDA delegates to seven agencies. However, MDH delegates to 31 agencies which include all the agencies also under MDA delegation agreements. These delegation agreements outline different responsibilities and scopes. These differences create confusion for these 31 delegated agencies and for the food vendors they license and inspect.

### Approach to Solve the Challenge

The harmonization of retail food safety activities is being done through a series of steps. These steps and the estimated time line is shown in Figure 1.

**Figure 1: Departments' Food Safety Alignment Initiatives**



The first two steps – *Differences Identified* and *Joint Work Group* are complete. One outcome of the Joint Work Group was the recommendation to conduct a preliminary review of components and timeline needed for a closer alignment. The Joint Work Group also recommended the preliminary review create a proposal for the 2015 legislative session to outline the timeline and steps needed to plan the implementation of the recommended alignment. This report is the result of that Preliminary Review and High Level Recommendations work.

### Factors Influencing the Recommendation

A thoughtful approach was used to make the closer alignment recommendation. This approach included identifying facts, leveraging experience and including many staff. Some key information factors were found during this approach.

#### ***Factor One: Types of Retail Food Safety Differences and Overlaps***

The Departments have identified four different types of overlaps and differences. Each overlap or difference is impacting licenses, industry groups, stakeholders or staff.

**Table 3: Types of Retail Food Safety Differences and Overlaps**

Type	Explanation	Example
Statutory Overlap	Both Departments are authorized to license and/or inspect the same food vendors.	A food vendor selling a dipped caramel apple is regulated by MDA while a vendor selling a sliced apple covered in caramel is regulated by MDH.
Statutory Difference	Statutory authority says each Department should apply different statutes to similar retail food vendors.	Restaurants inspected by MDH may have a dog on the patio. Restaurants inspected by MDA cannot. MDA can charge re-inspection fees while MDH cannot.
Policy and Procedures Difference	Resource, process and tool differences result in a different licensing and/or inspection experience for food vendors.	MDA food vendors can pay enforcement penalties online. MDH food vendors can't. Inspection and training procedures are different between Departments.
Food Type Difference	Food vendors frequently offering more than one type/mode of food. A food vendor can offer food inspected by MDA and food inspected by MDH.	More restaurants (regulated by MDH) are selling packaged food (regulated by MDA). More grocery stores (regulated by MDA) are offering prepared food (regulated by MDH). There is a blending of activities that further complicates which Department should license and inspect a food vendor.

The Departments estimate the statutory, policy and procedures, and the food type differences are increasing. Therefore now is the time to resolve these issues and create a more nimble model to drive food safety.

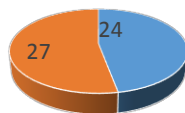
**Factor Two: The Number of Retail Food Safety Differences and Overlaps**

The Joint Departments Food Group identified 51 specific differences and overlaps between the Departments' retail food licensing and inspection activities. These differences and overlaps impact desired results, efficiency or confusion. Of these 51 items:

- Most differences and overlaps have a significant impact.
- About half of the differences and overlaps can be solved without statutory change.

**Figure 2: Expected Resolution**

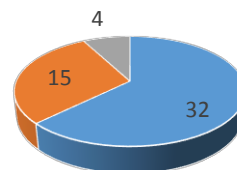
Departments' Retail Food Safety Differences and Overlaps - Expected Resolution Approach



■ Require Statutory Change  
■ Don't Require Statutory Change

**Figure 3: Preliminary Impact Estimate**

Departments' Retail Food Safety Differences and Overlaps - Preliminary Impact Estimate



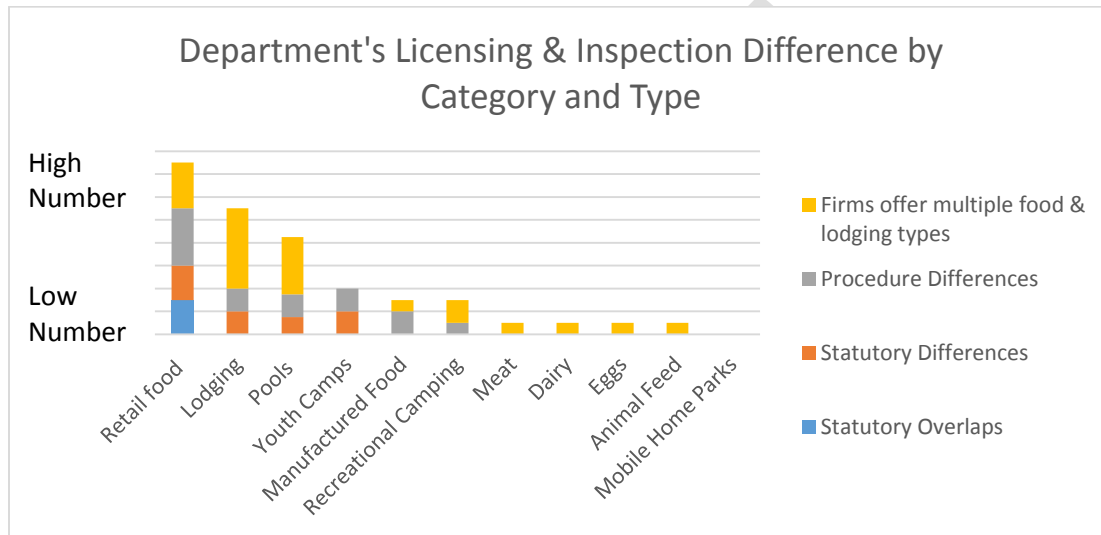
■ High Impact ■ Medium Impact ■ Low Impact

### ***Factor Three: Differences and Overlaps between All Departments' Food Safety Activities***

Retail food safety was selected for this review because it has the most significant overlaps and differences. The Departments also complete licensing and inspection activities for other food and non-food categories.

These other categories also have significant statutory overlap and differences, policy and procedure differences, and food type overlap.

**Figure 4: Department's Licensing & Inspection Difference by Category and Type**

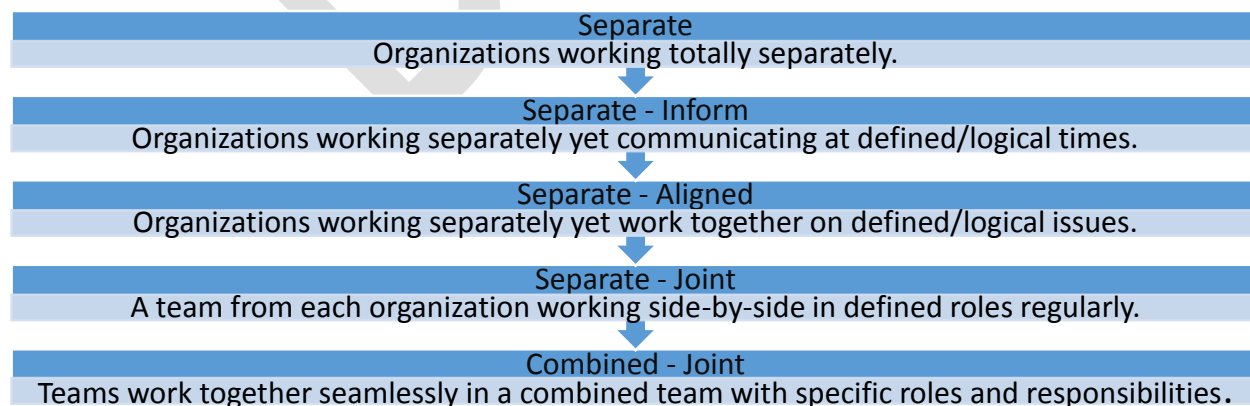


Due to the overlaps and differences between all licensing and inspection done by the Departments, the Joint Food Group recommends exploring future alignment between all Department food safety activities.

### ***Factor Four: Relationship between Consistent Food Safety Activities and Integration***

The Departments' staff examined different levels integration. Two factors were varied: (1) Organization structure and (2) How the food safety staff worked together. Figure 6 illustrates how the Departments defined the levels of integration from least integrated to most integrated.

**Figure 5: Department's Definition of Levels of Integration**

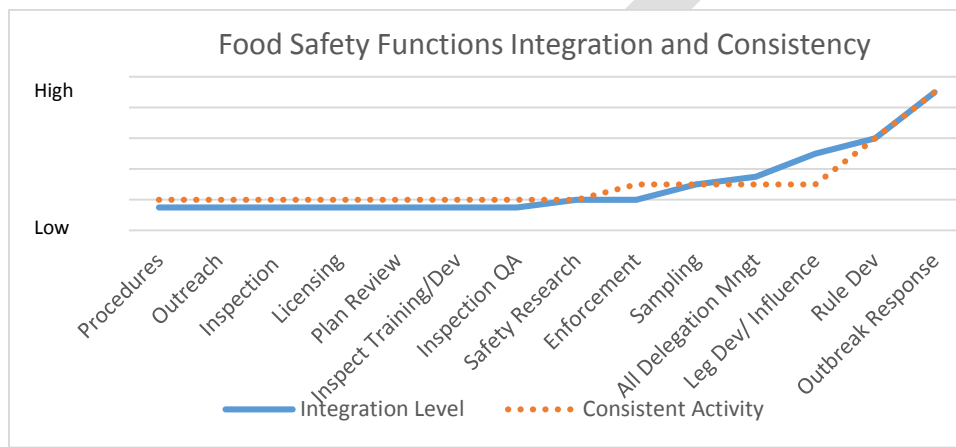




To date, the Departments have done preliminary work to integrate. For example, the Departments' response to outbreaks was determined jointly as roles and responsibilities were identified enabling a swift and consistent approach. The Departments have also worked jointly to propose rule changes for retail food safety. However most retail food safety activities remain separate, different and inconsistent.

The Departments see value of integrating retail food safety activities. To demonstrate the relationship between integration and consistency, the Departments compared the integration level with their view of internal consistency. This comparison of integration to consistency is illustrated in Figure 7. Generally the more consistent activities are the more integrated activities.

**Figure 6: Relationship between Integration and Consistent Food Safety Activities**



#### ***Factor Five: Lessons Learned from Other States***

The Departments surveyed other states to learn about organizational structure models. One survey asked for the number of retail food areas in each state. The states said 34 of 50 states (68%) have all retail food safety activities in one state agency.

**Figure 7 Departments' Survey – Number of Retail Food Safety Areas in Each State**



Four states also shared lessons learned from merging food safety activities. Some themes shared were:

- Creates stability in a single point of contact for industry. Industry and licensees really likes this.
- Can create uniform statues for restaurants and grocery stores
- Creates uniform license fees

- Creates an opportunity to consolidate leveraging the best practices from each agency – like moving from paper based to electronic
- Putting food safety in one place makes it much easier to make the arguments for food safety for funding and policy purposes
- Efficiencies can be achieved if the merger is done well

The states also shared challenges to be addressed when merging.

- Communication is critical: Getting buy-in from Legislators and the stakeholders, including local health organizations is key.
- Completing statutory changes while merging departments is critical to success.
- Bringing cultures together was tricky. Do frequent and consistent communication and change management activities with all staff.
- Aligning job classes, may be complicated in a collective-bargaining workforce.
- Pay attention to assigned inspection area and organization structure as this can improve inspection service, lower costs to reinvest in more inspectors and improve the inspector role.
- Pay attention to the combined procedures and tools as this can get more inspection done and done well.

Bottom line learning: Merging food safety activities is a good move but it has to be strategic, well communicated and focused on gaining efficiencies.

### **Options to Meet Our Goals**

The Departments' staff used proven tactics to identify feasible models that create a platform to resolve the food safety overlaps and differences. The Departments' staff identified and evaluated over 15 models based on the model's ability to resolve the differences and overlaps and to achieve the improvement criteria.

Three feasible models were selected that create a platform to resolve and improve. These three models are listed in Table 4 along with their impacts and issues in Table 5.

## Top Models to Resolve and Improve Food Safety

Department staff identified three best models of retail food closer alignment. The models address both level of alignment and organization structure.

**Table 4: Top Models to Resolve and Improve Food Safety**

<b>Model 1:</b> Increased Retail Food Alignment within existing MDA and MDH organization structure	<b>Model 2:</b> Joint retail food collaboration within existing MDA and MDH organization structure	<b>Model 3:</b> Joint collaboration within combined retail food organization structure
<b>Characteristics:</b>	<b>Characteristics:</b>	<b>Characteristics:</b>
Issue based alignment	Ongoing retail food collaboration based on agreed upon focuses and improvement opportunities	Ongoing retail food collaboration based on agreed upon organization focuses and improvement opportunities
<i>Ad hoc</i> when needed	Planned and Regular	Planned and Regular
Joint/side-by-side periodically	Joint/side-by-side work between Departments ongoing	<ul style="list-style-type: none"> <li>Joint work within retail food group ongoing</li> <li>Periodic alignment of all food and related licensing &amp; inspection groups</li> </ul>
Current organization structure	Current organization structure	Combined retail food organization structure
Reactive	Proactive	Proactive
<p><b>Example:</b> A grocery store or restaurant sells 51% food made on the premises in 2013 and is therefore licensed and inspected by MDH. In 2014, the same food vendor now sells 51% packaged food, therefore is now licensed and inspected by MDA.</p> <p>The Departments can react to issues better. Yet the food vendor experiences different policies, procedures, online service tools and regulatory requirements each year.</p>	<p><b>Example:</b> A grocery store or restaurant sells 51% food made on the premises in 2013 and is therefore licensed and inspected by MDH. In 2014, the food vendor now sells 51% packaged food, therefore is now licensed and inspected by MDA.</p> <p>The food vendor sees retail food licensing and inspection procedures and online service tools are similar, yet different. However the food vendor must adjust to different policies and regulatory requirements each year.</p>	<p><b>Example:</b> Grocery store or restaurant is licensed and inspected by the retail food licensing and inspection division year after year.</p> <p>This food vendor experiences the same procedures and online service tools each year.</p> <p>When the Legislature approves language to align the current MDA and MDH retail food statutes, the food vendor will then also be regulated at the same level each year.</p>

## Analysis of Options

The three possible models each have benefits and issues to be addresses.

**Table 5: Analysis of Three Top Models**

Comparing Models To Success Criteria	Model 1	Model 2	Model 3
Achieves clearer food safety authority and approach	Improved	Better	Best
Implements food safety authority more consistently (i.e. timely inspections)	Improved	Better	Best
Simplifies Minnesota food licensing and inspection for food vendors, food industry groups, Legislature and delegated agencies	Improved	Better	Best
Feasible to implement	Improved	Better	Best
<b>Other Positive Impacts</b>			
Creates a platform for sustained improvement	Improved	Better	Best
Flexibility to react to changing food industries	Improved	Better	Best
Focused on food safety – fast to identify and solve overall issues and gaps	Improved	Better	Better
Provides a platform for data view across retail food and other food safety categories	No	Improved	Better
Solves overlaps and differences with manufactured food, meat, eggs and dairy food safety	No	No	Improved
Creates improved efficiency of food safety activities longer term	No	No	Improved

Issues To Address	Model 1	Model 2	Model 3
Expected to require incremental funding to operate	Yes	Yes	TBD
Requires funding in next phase – Implementation Planning	Yes	Yes	Yes
Need to align job classes, duties, supervision	Yes	Yes	Yes
Requires change management and implementation to change culture	Yes	Yes	Yes
Creates significant implementation risk	Not Applicable	Yes	Yes
May require more inspections or licenses for some food and lodging establishments	Not Applicable	Not Applicable	TBD
Requires statutory change to implement organization structure change	Not Applicable	Not Applicable	Yes
Disrupts existing Department working relationships (i.e.: hotel licensing and inspection)	Not Applicable	Not Applicable	Yes
Disrupts existing internal processes, training, and relationships	Not Applicable	Not Applicable	Yes
Separates areas of less overlaps from retail food group	Not Applicable	Not Applicable	Yes
Creates an additional fee and funding issues that must be resolved statutorily	Not Applicable	Not Applicable	Yes

## Conclusion: Recommended Alignment

The Departments propose to move forward with the implementation planning for Model 3. This model recommends creating:

- A combined retail food safety group that is located in one of the two current Departments.
- Further future alignment between the combined retail food safety group and other food safety activities within the Departments.

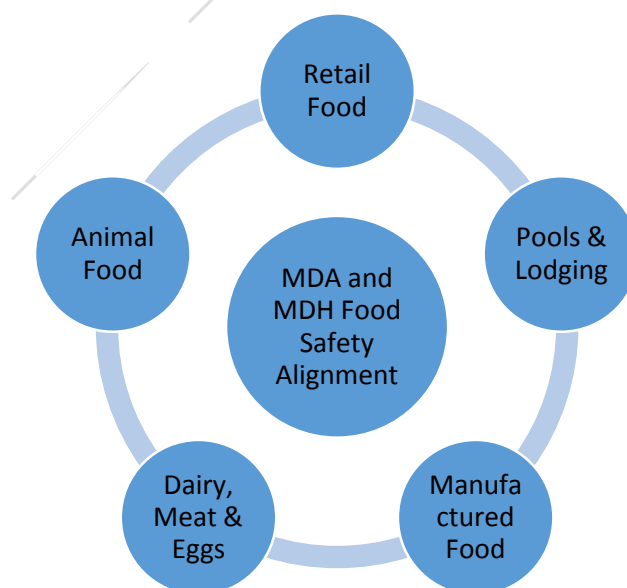
This model creates a more consistent authority, approach and execution of retail food safety activities. It also is a feasible platform to simplify Minnesota food safety. The Departments identified 40 of the 51 food safety overlaps and differences that could be resolved with implementation activities for the recommended model. This model has issues to be resolved, yet produces the biggest ongoing improvement in food safety.

Table 1 and Figure 9 highlight the Departments' current licensing and inspection alignment to the recommended alignment.

**Table 1: Current Departments' Licensing and Inspection Alignment**

MDA	MDH
<ul style="list-style-type: none"> <li>• Retail Food Safety</li> <li>• Manufactured Food Safety</li> <li>• Dairy, Meat and Eggs Safety</li> <li>• Animal Feed Safety</li> <li>• Other Activities</li> </ul>	<ul style="list-style-type: none"> <li>• Restaurant Retail Food Safety</li> <li>• Lodging Licensing &amp; Inspection</li> <li>• Pools Licensing and Inspection</li> <li>• Other Activities</li> </ul>

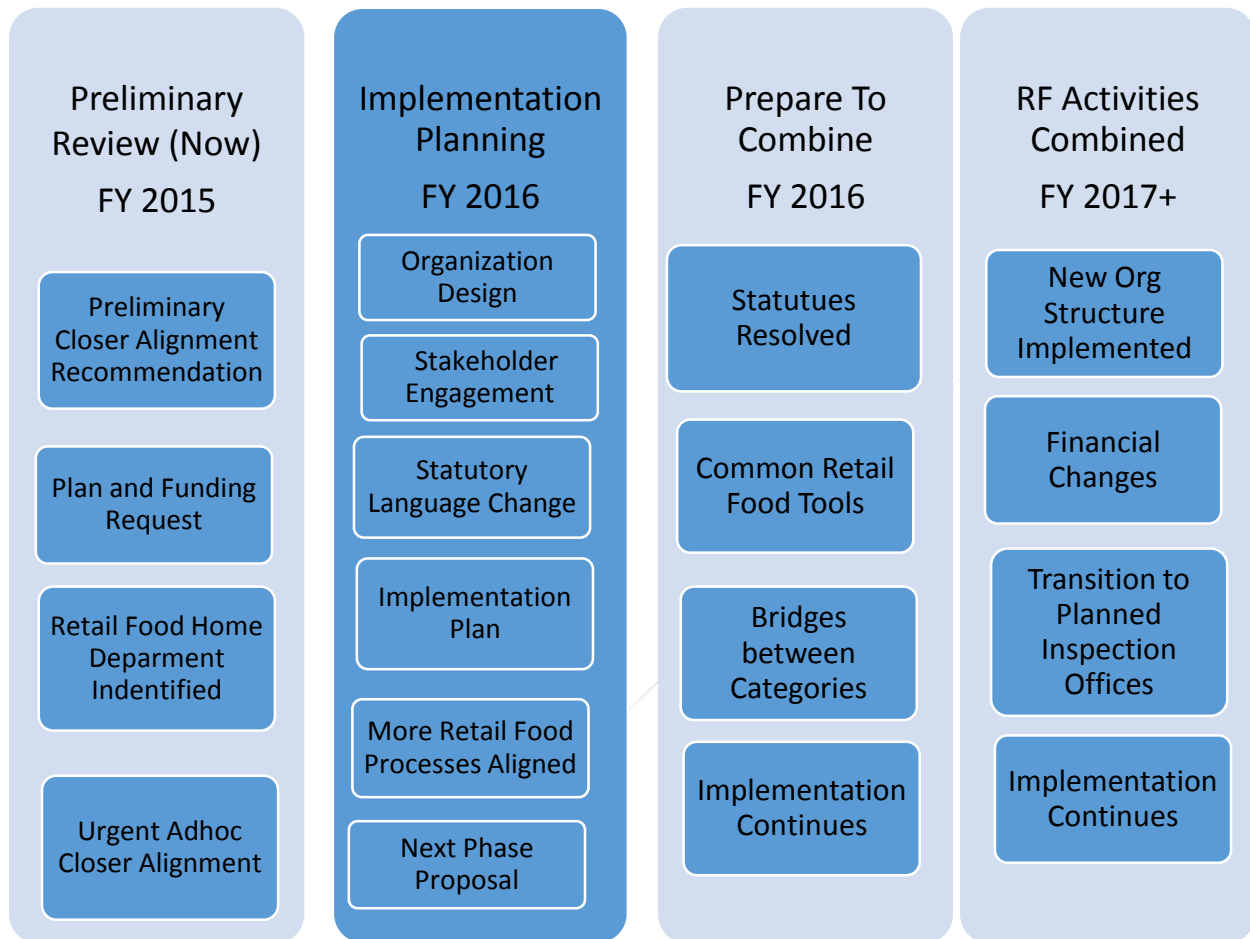
**Figure 8: Recommended Departments' Licensing and Inspection Alignment**



## Recommended Model Implementation Steps

The implementation of this closer alignment model will occur over two fiscal years. The Departments propose the following implementation path and outcomes.

**Figure 9: Departments' Food Safety Alignment Implementation Proposed Outcomes**



### Next Step: Implementation Planning

The next phase of the Closer Alignment Project is the Implementation Planning. The work to complete the above Implementation Planning outcomes is:

- Designing the combined retail food and other Department licensing and inspection functions
- Creating and propose recommended retail food statutory language
- Creating a transition work plan and proposal
- Managing ongoing transition based on learnings from the states survey
- Aligning retail food inspection, enforcement and training operations procedures
- Developing and managing a communication plan to engage stakeholders and employees

The work plan to do these tasks begins when the proposed Implementation Plan is approved and funded.

**Table 6: Implementation Planning Work Plan**

ID	Task Name	Start	Finish	Q3 15			Q4 15			Q1 16			Q2 16		
				Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun
1	Design of Licensing & Inspection Orgs	7/1/2015	12/31/2015												
2	Statutory Language Developed	7/1/2015	12/31/2015												
3	Transition Plan and Proposal Identified	7/1/2015	10/15/2015												
4	Ongoing Transition Management	7/1/2015	6/30/2016												
5	Inspection, Enforcement & Training Alignment	11/2/2015	6/30/2016												
6	Communications Plan Identified & Managed	7/1/2015	6/30/2016												

Additional funding and existing staff time is needed to complete this Implementation Planning. Fiscal Year 2016 funding of \$675,000 and an estimated existing staff time of 10,000 hours is required. Any urgent Closer Alignment work done during the FY 2015 will be done through core funding.

### Conclusion Summary

The Minnesota Departments of Agriculture and Health propose creating:

- A combined retail food safety group that is located in one of the two current Departments.
- Further future alignment between the combined retail food safety group and other food safety activities within the Departments.

The Departments' greater alignment will create a platform for food safety improvement. This platform can help create clearer food safety authority and approaches, more efficient and effective food safety activities, and simplify retail food licensing and inspection.

Approving the Implementation Planning recommendation, activities and funding is the path to creating these results.

## Appendix

### Appendix 1: Process Used to Develop and Review Options

The recommendations made in this report are the decisions of the Minnesota Departments of Agriculture and Health. The recommendations were developed through a facilitated process where the facilitator recommended and leveraged proven tools and approaches to create the closer alignment recommendations and work plan.

These key approaches were used to help ensure the recommendations in this report were made thoughtfully.

- **Fact Based Decisions:** Facts were used at specific points to validate the decisions. This report contains many charts that represent the data from the Departments' staff, records or interviews with leaders from other states.
- **Leverage Food Work Group Findings:** A group of knowledgeable resources (the Joint Work Group) did extensive work to identify the differences and overlaps in retail food licensing and inspection. This work identified 51 differences and overlaps used to validate the top models.
- **Broad and Balanced Staff Involvement:** MDH and MDA specialists, supervisors, managers, Directors and Assistant Commissioners from all key food safety activities were part of this initiative. The Staff who are part of this initiative are listed in the Appendix 3.
- **Transparency:** The learnings and ideas generated by the staff were shared consistently for review and feedback.
- **Structured Brain Storming:** The facilitator recommended and the Departments leveraged a structured approach to brainstorming that is proven to generate more and better ideas.
- **Evaluate Options Against Goals:** Top models were measured for their ability to achieve the improvement goals set by the Closer Alignment Co-Leads.
- **Feasible Work Plan:** The work plan for the next phase - Implementation Planning – was developed with feasibility and targeted results in mind. The activities, resourcing and targeted dates were tested to help ensure the initiative could achieve the needed results.
- **Survey of Food Safety Organization in Other States:** The Departments surveyed other states to determine what is working and the States' learnings from merging food safety functions. The summary of the States Survey is included in this report. The details of the States Survey are available as the Retail Food Licensing and Inspection Closer Alignment Preliminary Report Summary of Survey of States supplement.
- **Leverage Proven Experience:** Lee Kuntz, MBA and Certified Lean Six Sigma Black Belt was engaged by the Departments to bring a proven approach. Lee leads Innovation Process Design, a master contract resource through the State of Minnesota Continuous Improvement Program.



## Appendix 2: Scope of the Preliminary Review

The scope of this Report is clearly defined. Included in this Report are:

- “Food” per the Minnesota Food Code means a raw, cooked, or processed edible substance, ice, beverage, or ingredient used or intended for use or for sale in whole or in part for human consumption or chewing gum.
- Food vendor and activities per the Minnesota Food Code Rule.
- MDA and MDH retail food licensing, inspection/ compliance, education/outreach, enforcement, delegation, plan review, outbreak or emergency response and food program evaluation functions.
- The Food and Drug Administration (FDA) Program Standards are the widely recognized standards for regulatory programs that administer the FDA Food Code. These standards were used as discussion points for differences and overlaps.

This Report did not:

- Create a full design of the program, statutory, communication, Department impacts and other changes. This will be done in a next phase.
- Create new retail food vendor licensing categories and fees (separate project)
- Create a single delegation agreement (separate project)
- Create new policy and code interpretation decision making and communication (another project)
- Cover organizations not licensed by either MDA or MDH per statutes



### Appendix 3: Staff Engaged on This Preliminary Review

A fundamental step to making this recommendation was to engage many Department resources with diverse experience and perspectives. This project was successful in generating solutions due to the work of the following Department staff.

#### Co-Chairs:

MDA Assistant Commissioner Matthew Wohlman

MDH Assistant Commissioner Aggie Leitheiser

MDA Team Member Name	Title or Role	MDH Team Member Name	Title or Role
Heidi Kassenborg	Division Director	Tom Hogan	Division Director
David Read	Assistant Division Director	Dale Dorschner	Acting Assistant Division Director
Ben Miller	Food Inspection Program Manager	Steven Diaz	Assistant Section Manager
Katherine Simon	Food Supervisor	Wendy Spanier	EH Supervisor
Lorna Girard	Food Supervisor	Blake Nordin	EH Supervisor
Valarie Gamble	Food Supervisor	April Bogard	Project Manager FPL Services Section
Jan Kelly	Food Supervisor	Mark Peloquin	Public Health Specialist
Kirsten Knopff	Training, Outreach, Project Specialist	Angie Cyr	Partnership and Workforce Supervisor
Santo Cruz	Legislative Relations	Melissa Finnegan	Legislative Relations
Margaret Hart	Communications	Doug Schultz	Communications
Steve Ernest	CFO, Director of Finance & Budget	Abigail Mosher	CFO
Tyrone Spratt	MN.IT	Rohit Saxena	MN.IT
Mandy Papenguth	Human Resources Director	Jamie Gudknecht	Human Resources Director
Nicole Neeser	Program Manager, Dairy, Meat, Poultry		



#### Appendix 4: Fiscal Assumptions Used

The resources required for the Implementation Planning were developed by Department staff. This chart details the detailed work plan, assumptions, resources needed and incremental investment.

Outcomes	Time Frame	Implementation Activities	Existing Staff Hours	Assumptions	Incremental Spend FY 2016	Incremental Spend FY 2016 Description
Design	7/1- 12/31/15	Directors design organizations	780	Directors lead with HR & Ops support	\$0	None
Transition Plan	7/1-10/15/15	Technology assessment & recommendations	420	IT leads with Ops constantly involved	\$50,000	Business Analyst at MN.IT
		Retail & associated Ops and IT tasks developed	310	About 12 Operations Leaders meet 2/month	\$75,000	Project Manager (1/2 year)
		Facilities analysis and imp plan	470	Facilities joins Ops meetings & does work outside	\$50,000	Business Analyst (1/2 year)
		Budget: Develop combined budget for next FY	310	Budgets developed by Programs	\$50,000	Business Analyst (1/2 year)
		Statutory tasks developed	45	Primarily done by Ops with help from Legislative Affairs	\$0	
		Inspector job class evaluation and recommendation with costs in MDA & MDH	606	HR leads with RF & Associated Ops	\$0	
		HR policies & issues analysis and recommendations	1,180	Preliminary discussions with unions. All benefits, work locations, job descriptions, etc.	\$0	
Statutory Language	7/1-12/30/15	Recommended statutory changes developed	506	4 Ops & then 2 Legislative people	\$50,000	Business Analyst (1/2 year)
Process Alignment	11/30/15-6/30/16	Training plan alignment	426	4 Subject Matter Experts (SMEs) 2 hours once per week	\$50,000	Business Analyst (1/2 year)
		Inspection resource alignment	202	4 SMEs 4 hours per month	\$75,000	Project Manager (1/2 year)
		Inspection procedure alignment	2,506	12 SMEs 4 hours per week	\$0	
		Enforcement alignment	778	4 SMEs 16 hours per month	\$0	
		Associated L & I Program alignment	90	Participating in Retail Ops meetings	\$50,000	Business Analyst (1/2 year)
Ongoing Transition Management	7/1/15 - 6/30/16	Steering team developed and implemented;	665	About 10 Leaders meet twice a month for 2 hours each meeting	\$110,000	Incremental temporary senior staff coordinator
		Transition management and coordination	450	Two hour change management event for all affected staff	\$25,000	Change Management Training
		Change management activities		Operations and Communications working independently and reactivity	\$0	
		Reactive communications - internal, external & stakeholder	460			
		Internal & external coordinated communications	190	Coordinated communications	\$40,000	Communications Assistant
		Stakeholder engagement - proactive	270	Proactive communication with structured stakeholder engagement and feedback event.	\$50,000	Communication Consultant
		<b>Totals</b>	<b>10,664</b>		<b>\$675,000</b>	