



HACCP Based Food Safety Management Plan

SAMPLE

The following HACCP based food safety management plan is meant to serve as a sample for retail establishments in Maricopa County. Content is based on basic operations for a casual restaurant in Maricopa County and is not meant to be an all-inclusive ready to use document. The document is meant to be used as a template by the HACCP team to develop and implement a site specific food safety management program for an establishment. Please contact us directly with questions, suggestions, or for assistance in developing your program. E-mail us at help@foodsafetygeeks.com or visit www.foodsafetygeeks.com

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Organizational Statement and Management Commitment

XYZ Restaurant operates a retail establishment in Maricopa County Arizona. XYZ Restaurant is a small family owned operation that has been in operation since 2003. We pride ourselves on providing great products at great prices while using fresh locally sourced ingredients. Our signature dishes have won numerous awards and our customer service is unparalleled.

XYZ Restaurant understands that our customers expect to be served safe wholesome products when visiting our restaurant. For this reason, XYZ Restaurant has committed to adhering to the highest food safety standards by adopting a HACCP based food safety management program. Our program involves a preventive approach to food safety utilizing a Hazard Analysis Critical Control Point model recommended by both the Food and Drug Administration (FDA) voluntary standards and Maricopa County Environmental Health Services Department (MCESD) Cutting Edge programs.

FDA Voluntary HACCP Standards for Retail

According to the FDA, “Managing retail food safety embodies the principles of HACCP at retail and active managerial control on the part of industry. Regulators also play a role in maintaining a food safety system in retail food establishments. Cooperatively, regulators and industry can work together to understand the perspective of each and account for the variety of food preparation and service needs found in retail food establishments – from the facility with minimal food service to very complex operations that serve hundreds to thousands of meals daily.”. The FDA voluntary HACCP principles for retail establishments embody XYZ Restaurant’s organizational scope and commitment to food safety. XYZ Restaurant has developed a HACCP based food safety program in accordance with FDA voluntary HACCP principles for retail establishments.

Program Implementation

All management staff obtained HACCP manager certifications in July 2013. HACCP team meetings were conducted on August 1, 2013 and August 15, 2013. The HACCP team evaluated all products according the HACCP process approach to categorize recipes in to the No Cook, Same Day, and/or Complex categories. The analysis helped identify the necessary prerequisite programs, standard operating procedures, and critical control points specific to operations. XYZ Restaurant conducted training for all employees and implemented the new food safety program effective September 1, 2013. The program was revised on May 1, 2014 to implement aspects of 2013 FDA model food code.

HACCP Principles

In coordination with the process approach, operations were evaluated throughout the flow of food. Based on the evaluation, prerequisite program policies and standard operating procedures were created to support food safety management. Critical control points with critical limits were also identified based on the hazard analysis.

Principle 1 - Hazard Analysis

A hazard analysis was completed to determine the potential biological, chemical, and physical hazards associated with the foods being produced. Based on the hazard analysis, appropriate prerequisite programs and standard operating procedures specific to the facilities operations were created. The hazard analysis is used to support or strengthen the HACCP process approach categorizations that were completed. Menu item categorizations are available upon request.

Principle 2 – Determine Critical Control Points

Based on the hazard analysis, critical control points were identified for areas where an operational step is essential to preventing or eliminating a hazard. Critical control points identified were as follows:

- CCP 1 - Cold Holding Temperatures
- CCP 2 - Cooking/Reheating Temperatures
- CCP 3 - Hot Holding Temperatures
- CCP 4 - Cooling Temperatures

Principle 3 – Establish Critical Limits

For each critical control point identified, measurable critical limits have been established. All critical limits are identified in standard operating procedures.

- CCP 1 - Hold at or below 41°F
- CCP 2 - Cook/Reheat time and temperatures specific to food
- CCP 3 - Hold at or above 135°F
- CCP 4 - Cool from 135°F to 70°F in 2 hours and from 70°F to 41°F in 4 hours

Principle 4 – Establish Monitoring Procedures

Monitoring procedures for each established critical control point/critical limit are identified in standard operating procedures. All employees will be trained in monitoring procedures.

Principle 5 – Develop Corrective Action

Corrective action procedures for each established critical control point/critical limit are identified in standard operating procedures. All employees will be trained in corrective action procedures.

Principle 6 – Verification

Verification activities for each established critical control point/critical limit will be conducted on a predetermined frequency by a trained management staff.

Principle 7 - Recordkeeping

Program records will be maintained for a minimum of one year.

Resources

1. [FDA Voluntary HACCP Principles for Retail Establishments](#)
2. [2013 FDA Food Code](#)
3. [National Foodservice Management Institute – HACCP Based Standard Operating Procedures](#)
4. [Iowa State University – HACCP Information Center](#)
5. NEHA – Managing Food Safety Hazards at The Retail Level

Employee Training

PURPOSE: To provide the appropriate food safety training in order to allow employees to actively manage foodborne illness risk factors.

SCOPE: This procedure applies to all employees.

INSTRUCTIONS/PROCEDURES:

Management Staff

1. All management staff will be required to demonstrate knowledge of food safety principles by:
 - a. Becoming a certified food protection manager who has shown proficiency of required information through passing a test that is part of an accredited program (ServSafe, National Registry of Food Safety Professionals, Prometric, or 360 Training) **AND**
 - b. Becoming a certified HACCP manager **IF** operations include a specialized process that requires a variance by Maricopa County Environmental Services Department.
2. Meet Maricopa County Environmental Services Department requirements for maintenance of Certified Food Manager status.
3. Deliver training on HACCP based food safety management program standard operating procedures and records as part of new employee orientation.
4. Deliver monthly food safety refresher trainings to all employees.
5. Conduct targeted training for employees in need of improving food safety practices.

Non-Management Staff

1. All non-management staff will be required to complete Maricopa County approved food handler certification training in advance of employment.
2. Meet Maricopa County Environmental Services Department requirements for maintenance of Certified Food Handler status.
3. Complete training on HACCP based food safety management program standard operating procedures and records upon hire.
4. Participate in mandatory monthly food safety refresher trainings.

MONITORING:

1. The person in charge and/or other management staff will observe employees to determine any employees who are in need of additional training.

CORRECTIVE ACTION:

1. Coordinate training for any employee who does not meet requirements of their position.
2. Retrain any employee who does not follow proper food safety procedures.

Employee Training

VERIFICATION AND RECORD KEEPING:

1. Management staff will review records during the monthly food safety self-inspection to ensure all training records are current.
2. Food protection manager certificates and cards will be maintained at each location for which the manager is responsible.
3. Food handler cards will be maintained at each location in which an employee works.

SAMPLE

Employee Health

PURPOSE: To reduce the risk of foodborne disease transmission through the reporting of symptoms and/or diagnoses associated with foodborne disease.

SCOPE: This procedure applies to all employees.

INSTRUCTIONS/PROCEDURES:

1. As a condition of employment all employees are required to report the following symptoms to their manager in a timely manner:
 - a. Vomiting
 - b. Diarrhea
 - c. Jaundice
 - d. Sore throat with fever
 - e. Any exposed lesion, cut, or infected wound that is open or draining
2. As a condition of employment all employees are required to report the following illnesses diagnosed by a health practitioner:
 - a. Norovirus
 - b. Hepatitis A
 - c. *Shigella* spp.
 - d. *Salmonella*
 - e. *Escherichia Coli* (EHEC or STEC)
3. As a condition of employment all employees are required to report if they had a previous illness, diagnosed by a health practitioner, within the past 3 months due to *Salmonella*, without having received antibiotic therapy, as determined by a health practitioner.
4. As a condition of employment all employees are required to report if they have been exposed to, or is the suspected source of, a confirmed disease outbreak, because the employee consumed or prepared FOOD implicated in the outbreak, or consumed FOOD at an event prepared by a PERSON who is infected or ill with:
 - a. Norovirus within the past 48 hours of the last exposure
 - b. *Escherichia Coli* (EHEC or STEC), or *Shigella* spp. within the past 3 days of the last exposure
 - c. *Salmonella* within the past 14 days of the last exposure
 - d. Hepatitis A within the past 30 days of the last exposure
5. As a condition of employment all employees are required to report if they have been exposed by attending or working in a setting where there is a confirmed disease outbreak, or living in the same household as, and has knowledge about, an individual who works or attends a setting where there is a confirmed disease outbreak, or living in the same household as, and has knowledge about, an individual diagnosed with an illness caused by:
 - a. Norovirus within the past 48 hours of the last exposure
 - b. *Escherichia Coli* (EHEC or STEC) or *Shigella* spp. within the past 3 days of the last exposure
 - c. *Salmonella* within the past 14 days of the last exposure
 - d. Hepatitis A virus within the past 30 days of the last exposure
6. As a condition of employment all employees will be required to demonstrate proof of vaccination for Hepatitis A.

Employee Health (continued)

MONITORING:

1. The person in charge and/or other management staff will observe employees for visible signs or reportable illnesses.
2. The person in charge and/or other management staff will ensure all employees complete an illness interview form and a reportable illness agreement upon hire and/or adoption of this prerequisite program.
3. The person in charge and/or other management staff will record all reportable illness events on an employee illness log.

CORRECTIVE ACTION:

1. Managerial staff will immediately exclude all employees reporting symptoms of vomiting, diarrhea, and/or jaundice.
2. Managerial staff will immediately restrict employees with infected cuts or wounds and/or reporting symptoms of sore throat with fever from any duty involving the handling, preparation, and/or service of food and beverages.
3. Managerial staff will immediately exclude all employees diagnosed Norovirus, Hepatitis A, *Shigella* spp., *Salmonella*, and/or *Escherichia Coli*.
4. Managerial staff will immediately report the exclusion of employees diagnosed with Norovirus, Hepatitis A, *Shigella* spp., *Salmonella*, *Escherichia Coli*, and/or symptoms of jaundice to the Maricopa Environmental Services Department.
5. Managerial staff will ensure that all employees excluded due to reportable illness obtain medical clearance from a health practitioner and/or the Maricopa County Environmental Services Department prior to returning to work.

VERIFICATION AND RECORD KEEPING:

1. Management staff will review illness logs monthly to ensure reporting and corrective action activities are documented.
2. Management staff will audit new hire paperwork to ensure that illness interview has been properly reviewed, reportable illness agreement is completed, and that employee has received vaccination for Hepatitis A.

Personal Hygiene

PURPOSE: To prevent contamination of food by employees.

SCOPE: This procedure applies to all employees who handle, prepare, or serve food AND any employee or visitor that enters food preparation areas.

INSTRUCTIONS/PROCEDURES:

1. Train all employees on personal hygiene at a minimum of twice annually.
2. Follow Maricopa County Environmental Service Department requirements.
3. Follow the Employee Health Policy.
4. Report to work in good health, clean, and dressed in clean attire.
5. Change apron when it becomes soiled and remove apron when leaving food preparation areas.
6. Wash hands properly, frequently, and at the appropriate times.
7. Keep fingernails trimmed, filed, and maintained so that the edges are cleanable and not rough.
8. Avoid wearing artificial fingernails and fingernail polish.
9. Wear single-use gloves if artificial fingernails or fingernail polish are worn.
10. Do not wear any jewelry except for a plain ring such as a wedding band.
11. Treat and bandage wounds and sores immediately. When hands are bandaged, single-use gloves must be worn. Approved blue bandages must be utilized.
12. Cover any open cut, wound, or pus containing lesion with a bandage. If the lesion is on a hand or wrist, cover with an impermeable cover such as a finger cot and a single-use glove.
13. Eat, drink, use tobacco, or chew gum only in designated break areas where food or food contact surfaces may not become contaminated. Arizona state law requires prohibits smoking within 20 feet of the establishment.
14. Taste food the correct way:
 - Place a small amount of food into a separate container.
 - Step away from exposed food and food contact surfaces.
 - Use a teaspoon to taste the food. Remove the used teaspoon and container to the dish room. Never reuse a spoon that has already been used for tasting.
 - Wash hands immediately.
15. Wear suitable and effective hair restraints while in food preparation areas.
16. Immediately report any contamination by bodily fluids including blood and vomit. Any contamination by bodily fluids in a food preparation or service area may require immediate suspension of operations.

MONITORING:

1. The person in charge and/or other management staff will periodically observe employees when they report to work and during hours of operation to ensure that each employee is adhering to good personal hygiene practices.

Personal Hygiene (continued)

CORRECTIVE ACTION:

1. Retrain any employee not adhering to personal hygiene practices.
2. Discard any affected food that may have been subject to contamination due to poor personal hygiene.
3. Clean and sanitize all food contact surfaces that may have been subject to contamination due to poor personal hygiene.
4. Disinfect all areas contaminated by bodily fluids.

VERIFICATION AND RECORD KEEPING:

1. Management staff will review employee training annually.
2. Management staff will supervise and document all cleaning activities involving bodily fluids in food preparation and service areas.
3. Management staff will audit compliance during the monthly food safety self-inspection.

Hand Washing and Glove Use

PURPOSE: To prevent the spread of foodborne illness by contaminated hands.

SCOPE: This procedure applies all employees who handle, prepare, and serve food.

INSTRUCTIONS/PROCEDURES:

1. Train all employees on hand washing at a minimum of twice annually.
2. Follow Maricopa County Environmental Service Department requirements.
3. Post hand washing signs or posters in a language understood by all foodservice staff near all hand washing sinks, in food preparation areas, and restrooms.
4. Use designated hand washing sinks for hand washing only. Do not use food preparation, utility, and/or dish washing sinks for hand washing.
5. Provide hot and cold running water (mixable to a minimum of 100°F), soap, single use disposable towels, and single use gloves (for use with ready to eat foods). A waste container must be provided at each hand washing sink or near the door in restrooms.
6. Keep hand washing sinks accessible at all times.
7. Wash hands:
 - Before starting work or when entering a food preparation area
 - Before engaging in food preparation
 - Before putting on or changing gloves
 - When moving from one food preparation area to another
 - Between tasks
 - After using the toilet
 - After sneezing, coughing, or using a handkerchief or tissue
 - After touching hair, face, or body
 - After smoking, eating, drinking, or chewing gum or tobacco
 - After handling raw meats, poultry, or fish
 - After any clean up activity such as sweeping, mopping, or wiping counters
 - After touching dirty dishes, equipment, or utensils
 - After handling trash
 - After handling money
 - After any time the hands may become contaminated
8. Follow proper hand washing procedures as indicated below:
 - Wet hands and forearms with warm, running water at least 100°F and apply soap.
 - Vigorously scrub hands and exposed portion of arms, under fingernails, and between fingers for at least 10-15 seconds.
 - Rinse thoroughly under warm running water.
 - Dry hands and forearms thoroughly with single-use paper towels.
 - Turn off water using paper towels.
 - Use paper towel to open door when exiting the restroom.

Hand Washing and Glove Use (continued)

9. Additional measures such as double hand washing, use of sanitary nail brushes, and/or use of a hand antiseptic is recommended before handling ready to eat foods following:
 - Using the restroom
 - Handling raw animal products
10. If hand sanitizers (antiseptics) are in use the following is required:
 - Use hand sanitizers only after hands have been properly washed and dried.
 - Use only hand sanitizers that comply with the *2013 FDA Food Code*. Confirm with the manufacturers that the hand sanitizers used meet these requirements.
 - Use hand sanitizers in the manner specified by the manufacturer.
11. Bare hand contact with ready to eat food is prohibited except when:
 - Washing fresh fruits and vegetables
 - When all parts of the ready to eat food will be cooked to minimum required temperatures
12. Approved non-latex gloves must be worn at all times when handling ready to eat foods
13. Glove stations will be located at hand wash stations only to facilitate proper hand washing prior to wearing gloves.
14. Employees with open cuts and wounds covered by a tight fitting impermeable bandage are required to wear gloves at all times.
15. Employees with false fingernails and/or nail polish are required to wear gloves at all times while in food preparation areas.

MONITORING:

1. The person in charge or other management staff will observe the hand washing practices of employees during all hours of operation.
2. The person in charge or other management staff will ensure that hand washing sinks are properly supplied during all hours of operation.

CORRECTIVE ACTION:

1. Retrain any employee who does not follow proper hand washing procedures.
2. Ask employees that are observed not washing their hands at the appropriate times or using the proper procedure to wash their hands immediately.
3. Discard any ready to eat food that has been handled with bare hands.

VERIFICATION AND RECORD KEEPING:

1. Management staff will audit compliance during the monthly food safety self-inspection.

Washing Produce

PURPOSE: To reduce the risk of foodborne illness from contaminated fruits and vegetables.

SCOPE: This procedure applies all employees who handle, prepare, and serve food.

INSTRUCTIONS/PROCEDURES:

1. Train all employees on washing produce at a minimum of twice annually.
2. Follow Maricopa County Environmental Service Department requirements.
3. Wash, rinse, sanitize, and air-dry all food-contact surfaces, equipment, and utensils that will be in contact with produce, such as cutting boards, knives, and sinks.
4. Wash fresh produce vigorously under cold running water before combining with other ingredients, including:
 - Unpeeled fresh fruit and vegetables that are served whole or cut into pieces.
 - Fruits and vegetables that are peeled and cut to use in cooking or served ready-to-eat.
5. Scrub the surface of firm fruits or vegetables such as apples or potatoes using a clean and sanitized brush designated for this purpose.
6. Remove any damaged or bruised areas.
 - Discard any whole melons with cuts or significant damage to rind.
7. Date mark and store cut leafy greens, cut tomatoes, and cut melons at 41°F or lower.
8. Wash hands and put on gloves prior to handling any ready to eat washed produce.

NOTE: Do not wash packaged produce labeled as washed (i.e. ready to eat, triple washed, etc.)

MONITORING:

1. The person in charge and/or other management staff will visually monitor that fruits and vegetables are being properly washed, labeled, and dated during all hours of operation.

CORRECTIVE ACTION:

1. Retrain any employee who does not follow proper produce washing procedures.
2. Discard any ready to eat food produce that has been handled with bare hands and/or been in contact with contaminated surfaces/equipment.
3. Remove unwashed fruits and vegetables from service and re-wash prior to being served.

VERIFICATION AND RECORD KEEPING:

1. Management staff will audit compliance during the monthly food safety self-inspection.

Date Marking

PURPOSE: To ensure appropriate rotation of ready-to-eat food to reduce risk of foodborne illness from *Listeria monocytogenes*.

SCOPE: This procedure applies all employees who handle, prepare, and serve food.

INSTRUCTIONS/PROCEDURES:

1. Train all employees on date marking at a minimum of twice annually.
2. Follow Maricopa County Environmental Service Department requirements.
3. At a minimum the date mark labeling must include the product name, the date, and time it is prepared or opened.
4. Date mark labeling is required for:
 - Label ready-to-eat, TCS (Time-Temperature Control for Safety Foods) that are prepared on-site and held for more than 24 hours.
 - Label any processed, ready-to-eat, TCS foods when opened, if they are to be held for more than 24 hours.
5. Refrigerate all ready-to-eat, TCS foods at 41°F or below.
6. Serve or discard refrigerated, ready-to-eat, TCS foods within 7 days.
7. Date marked TCS foods moved to frozen storage shall be labeled to indicate date moved to frozen storage and be date marked to indicate remaining days allowed in refrigerated storage.
 - For example: A date marked food in storage for its second day when moved to frozen storage will have 5 days remaining when removed.
8. Date marked foods which are combined in any manner must be relabeled to retain the date mark of the oldest product in the new combined food.

MONITORING:

1. The person in charge and/or other management staff will check refrigerators daily to verify that foods are date marked and that foods exceeding the 7-day time period are not being used or stored.

CORRECTIVE ACTION:

1. Retrain any employee who does not follow proper date marking procedures.
2. Discard any food that has not been properly date marked or that has exceeded more than 7 days since preparation/opening.

VERIFICATION AND RECORD KEEPING:

1. Management staff will audit compliance during the monthly food safety self-inspection.

Cleaning and Sanitizing

PURPOSE: To prevent foodborne illness by ensuring that all food contact surfaces are properly cleaned and sanitized.

SCOPE: This procedure applies to all employees involved in cleaning and sanitizing food contact surfaces.

INSTRUCTIONS/PROCEDURES:

1. Train all employees on date marking at a minimum of twice annually.
2. Follow Maricopa County Environmental Service Department requirements.
3. Wash, rinse, and sanitize food contact surfaces such as sinks, tables, equipment, utensils, thermometers, carts, and equipment:
 - Before each use
 - Between uses when preparing different types of raw animal foods, such as eggs, fish, meat, and poultry
 - Between uses when preparing ready-to-eat foods and raw animal foods, such as eggs, fish, meat, and poultry
 - Any time contamination occurs or is suspected
4. Wash, rinse, and sanitize food contact surfaces of sinks, tables, equipment, utensils, thermometers, carts, and equipment using the following procedure:
 - Rinse, scrape, soak, and/or wipe surface to remove excess soil and/or debris from the area to be cleaned
 - Wash surface with soap (detergent solution) and warm water at about 110°F .
 - Rinse surface with clean water.
 - Sanitize surface using a sanitizing solution mixed at a concentration and time specified on the manufacturer's label.
 - Allow all items to air dry prior to use.
5. If a 3-compartment sink is used, setup and use the sink in the following manner:
 - Rinse, scrape, soak, and/or wipe surface to remove excess soil and/or debris from the area to be cleaned
 - In the first compartment, wash with soap and water at or above 110 °F or at the temperature specified by the detergent manufacturer.
 - In the second compartment, rinse with clean water.
 - In the third compartment, sanitize with a sanitizing solution mixed at a concentration and time specified on the manufacturer's label OR by immersing in hot water at or above 171 °F for 30 seconds.
 - Allow all items to air dry prior to use.

Cleaning and Sanitizing (continued)

6. If a dish machine is used:
 - Check with the dish machine manufacturer to verify that the information on the data plate is correct.
 - Refer to the information on the data plate for determining wash, rinse, and sanitizing (final) rinse temperatures and water pressures, if applicable.
 - Follow manufacturer's instructions for use.
 - For a high temperature dish machine, ensure that food contact surfaces reach a surface temperature of 160°F or above.
 - For a low temperature (chemical) dish machine, ensure that the chemical sanitizing solution is applied at the concentration recommended by the manufacturer.
7. A master cleaning schedule should be maintained for cleaning of non-food contact surfaces/areas in the food establishment. At a minimum, the master cleaning schedule should include the following:
 - What should be cleaned
 - When cleaning is required
 - How to properly clean (specialized processes may be necessary for clean in place equipment)
 - Who is responsible for cleaning

Wiping Cloth Use

1. Wiping cloths used for spills must be clean, dry, and used for no other purpose. Disposable towels are acceptable.
2. Wiping cloth used for surfaces and equipment during continuous use must:
 - Be held in a clean and unsoiled sanitizer solution at the proper concentration.
 - Be replaced as needed with clean properly laundered cloths.
 - Cloths used to wipe surfaces in contact with raw animal products may not be used for any other purpose or area.
 - Stored off the floor and maintained in a manner to prevent contamination.

Sanitizer

1. Chemical Sanitizers must be:
 - Approved for use in food establishments.
 - Must be used at a concentration recommended by the manufacturer.
 - Equipment/surfaces must be immersed or in contact with the sanitizer solution for the amount of time recommended by the manufacturer.
 - Utilize an approved test kit to verify concentration of the sanitizer.
2. In the absence of an approved chemical sanitizer, heat may be used to sanitize by:
 - Heating and maintaining water at a temperature of 171°F or higher.
 - Utilizing a rack to effectively immerse equipment for a minimum of 30 seconds.
 - Utilize a calibrated thermometer to verify temperature during immersion.

Cleaning and Sanitizing (continued)

MONITORING:

1. During all hours of operation, employees will visually and physically inspect food contact surfaces of equipment and utensils to ensure that the surfaces are clean.
2. In a 3-compartment sink, on a daily basis employees will:
 - Visually monitor that the water in each compartment is clean.
 - Take the water temperature in the first compartment of the sink by using a calibrated thermometer.
 - If using chemicals to sanitize, test the sanitizer concentration by using the appropriate test kit for the chemical and record the concentration on the sanitizer concentration log OR if using hot water to sanitize, use a calibrated thermometer to measure the water temperature and record the temperature on the sanitizer temperature log.
3. In a dish machine, on a daily basis employees will:
 - Visually monitor that the water and the interior parts of the machine are clean and free of debris.
 - Continually monitor the temperature and pressure gauges, if applicable, to ensure that the machine is operating according to the data plate.
 - For hot water sanitizing dish machine, ensure that food contact surfaces are reaching the appropriate temperature by placing a piece of heat sensitive tape on a small ware item or a maximum registering thermometer on a rack and running the item or rack through the dish machine and recording the check on the dish machine temperature log OR for a chemical sanitizing dish machine, check the sanitizer concentration on a recently washed food-contact surface using an appropriate test kit and recording on the dish machine concentration log.
4. The person in charge and/or other management staff will check sanitizer concentration logs and/or sanitizer temperature logs for completion daily.
5. The person in charge and/or other management staff will verify adherence to the master cleaning schedule daily.

CORRECTIVE ACTION:

1. Retrain any employee who does not follow proper cleaning and sanitizing procedures.
2. Wash, rinse, and sanitize any food contact surface that does not appear clean to sight and touch or that may have been subject to contamination.
3. Discard any food that has come in contact with food contact surfaces that have not been washed, rinsed, and sanitized properly.
4. Re-clean any non-food contact surface/area that has not been properly cleaned in accordance with the master cleaning schedule.

VERIFICATION AND RECORD KEEPING:

1. Management staff will audit compliance during the monthly food safety self-inspection.

Chemical Safety

PURPOSE: To prevent foodborne illness and employee injury due to chemical use.

SCOPE: This procedure applies to all employees.

INSTRUCTIONS/PROCEDURES:

1. Train all employees on date marking at a minimum of twice annually.
2. Follow Maricopa County Environmental Service Department requirements.
3. Designate a location for Material Safety Data Sheets (MSDS) that is accessible to all employees.
4. Follow manufacturer's directions for specific mixing, storing, and first aid instructions on the chemical containers in the MSDS.
5. Label all chemicals not stored in their original containers with the common name of the substance.
6. Store all chemicals in a designated secured area away from food and food contact surfaces using spacing or partitioning.
7. If possible, limit access to chemicals by use of locks, seals, or key cards.
8. Maintain a master chemical log of all approved chemicals.
9. Store only chemicals that are necessary to the operation and maintenance of the kitchen.
10. Mix, test, and use sanitizing solutions as recommended by the manufacturer.
11. Use the appropriate chemical test kit to measure the concentration of sanitizer each time a new batch of sanitizer is mixed.
12. Do not use chemical containers for storing food or water.
13. Use only hand sanitizers that comply with the *2013 FDA Food Code*. Confirm with the manufacturer that the hand sanitizers used meet the requirements of the *2013 FDA Food Code*.
14. Label and store first aid supplies in an area that is located away from food or food contact surfaces.
15. Label and store medicines and other personal care products for employee use in a designated area and away from food contact surfaces. Do not store medicines in food storage areas.
16. Store refrigerated medicines in a covered, leak proof container where they are not accessible to children and cannot contaminate food.

MONITORING:

1. All employees will visually observe that chemicals are being stored, labeled, and used properly during all hours of operation.

CORRECTIVE ACTION:

1. Retrain any employee who does not follow proper chemical safety procedures.
2. Discard any food contaminated by chemicals.
3. Label and properly store any unlabeled or misplaced chemicals.

Chemical Safety (continued)

VERIFICATION AND RECORD KEEPING:

1. Management staff will audit compliance during the monthly food safety self-inspection.

SAMPLE

Pest Control

Purpose: To reduce the risk of contamination associated with pests by using an integrated pest management approach.

Scope: This procedure applies to all employees and licensed pest control operators contracted for services.

INSTRUCTIONS/PROCEDURES:

1. Train all employees on the pest control program at a minimum of twice annually.
2. Follow Maricopa County Environmental Service Department requirements.

Deny Pests Access

1. Use reputable suppliers for all deliveries.
2. Inspect all deliveries before entrance in to establishment for signs of pest infestation including gnaw marks, droppings, urine, etc.
3. Keep all exterior openings closed tightly.
4. Inspect facility for openings, cracks, screens, door sweeps, fans, broken seals, etc. that may provide an opportunity for pest infestation
5. Maintain a pest control log to report any pest sightings or facility issues that can allow entrance or harborage of pests

Deny Pests Food, Water, and Shelter

1. Dispose of garbage quickly and correctly. Keep garbage containers clean, in good condition, and tightly covered in all areas (indoor and outdoor).
2. Clean up spills around garbage containers immediately. Clean containers regularly.
3. Store recyclables in clean, pest-proof containers away from the building.
4. Properly store food and supplies after delivery.
 - Keep all food and supplies at least six inches off the floor and away (no direct contact) from walls.
 - Place opened packages of cereals and grains in proper storage containers with tight fitting lids.
 - Maintain all other foods tightly covered or sealed.
 - Use FIFO (First In First Out) inventory rotation, so pests do not have time to settle into products and breed.
5. Maintain a suitable master cleaning schedule to prevent dust, dirt, and food debris from accumulating

Pest Control (continued)

Utilization of a Licensed Pest Control Operator

1. Utilize a licensed pest control operator to assist with pest control monitoring activities.
2. Only a licensed pest control operator may decide if a treatment or application of an approved pesticide is required. The treatment must be safe for application in food facilities.
3. No pesticides may be stored in the establishment. No household pesticides may be introduced and or utilized in the food establishment.
4. Maintain records of any treatments that have completed by the pest control operator, including material safety data sheets for chemicals applied.

MONITORING:

1. All employees will observe and document any pest sightings and/or any facility issues on the pest control log.
2. The person in charge and/or other management staff will ensure cleaning activities are completed daily.

CORRECTIVE ACTION:

1. Reject any shipment with evidence of pest contamination.
2. Discard any food contaminated by pests.
3. The person in charge and/or other management staff will help coordinate and monitor activities of the licensed pest control operator based on activity documented in the pest control log.
4. The person in charge and/or other management staff will coordinate and monitor repair activities to the facility based on issues documented in the pest control log.

VERIFICATION AND RECORD KEEPING:

1. Management staff will audit compliance during the monthly food safety self-inspection.

Preventive Maintenance

Purpose: To reduce the risk of contamination resulting from improper use/repair of equipment and/or the facility.

Scope: This procedure applies to all employees and contractors involved in the repair/maintenance of equipment and the facility.

INSTRUCTIONS/PROCEDURES:

1. Train all employees on the preventive maintenance program at a minimum of twice annually.
2. Follow Maricopa County Environmental Service Department requirements.
3. Follow all manufacturer recommendations for use of equipment.
4. All repair/maintenance activities must be completed in a manner to prevent contamination (biological, physical, or chemical)
 - Remove any open foods in or near equipment/area that is subject to repair/maintenance.
 - Remove any food contact equipment/areas that are subject to contamination from the repair/maintenance.
 - Monitor temperatures of TCS foods in cold holding equipment that is subject to repair/maintenance. If possible, move TCS foods to an alternate cold storage area until repair/maintenance is completed.
 - Ensure that only food grade lubricants are used on equipment that may result in incidental contact with foods.
 - Wash, rinse, and sanitize all food contact equipment/areas that are unable to be removed or that may have been subject to contamination from the repair/maintenance.
5. Maintain a preventive maintenance log to document maintenance/repair requests and all repair/maintenance activities.
6. Temporary repairs are prohibited (i.e. super glue, duct tape, screw taps, etc.)
7. Utilize properly licensed contractors with the appropriate training or knowledge base to adequately complete repair/maintenance. In particular ensure the following:

Plumbing/Water Supply

1. Follow all current international plumbing code regulations.
2. Follow all local jurisdictional requirements for plumbing and facility design.
3. Ensure backflow prevention devices are tested annually.
4. Ensure potable water is tested a minimum of twice annually if utilizing a non-municipal water supply.
5. Ensure mixable hot (minimum 110°F) and cold (minimum 70°F) water is available at all sinks.

NOTE: The establishment may not operate without a potable water supply and/or in the event of a sewage/wastewater leak in food preparation or service areas. These are considered imminent health hazards and require immediate closure.

Preventive Maintenance (continued)

Fire Protection

1. Follow all current international fire code regulations.
2. Follow all local jurisdictional requirements for fire suppression/control and facility design.
3. Ensure fire suppression/control devices are tested annually.

Electrical

1. Follow all current national electrical code regulations.
2. Follow all local jurisdictional requirements for electrical wiring and facility design.

Lighting

1. Ensure all lighting in foodservice areas is properly shielded.
2. Maintain the following intensity of lighting:
 - 10 foot candles – in storage areas and during cleaning activities
 - 20 foot candles – in food service areas
 - 50 foot candles – in food preparation areas

Ventilation

1. Follow all international fire code, electrical code, and manufacturer regulations.
2. Clean all ventilation systems according to manufacturer recommendations or at a frequency to prevent accumulation of dust, debris, or food residues.
3. Clean vent hoods annually at a minimum.

Equipment

1. Utilize NSF approved commercial grade equipment.
2. Follow all manufacturer recommendations for repair/maintenance.

Thermometer Calibration

1. Follow all manufacturer recommendations for repair/maintenance and calibration.
2. Unless otherwise specified, calibrate thermometers using the ice point method:
 - Place ice in a small container and fill with water to cover ice.
 - Immerse the sensing area of thermometer in the ice water without touching the sides or bottom of the container.
 - Adjust the thermometer setting so that it reads 32°F +/- 2°F
 - Calibrate as often as necessary.
3. Calibrate thermometers at a minimum of:
 - Daily – for bimetallic stem thermometers
 - Weekly – for thermistors and thermocouples
 - Annually for NIST certified reference thermometers

NOTE: Significant facility design changes may require submission on new plans to Maricopa County Environmental Services.

Preventive Maintenance (continued)

MONITORING:

1. All employees will observe and document any maintenance/repair request and/or any facility issues on the preventive maintenance log.
2. The person in charge and/or other management staff will ensure maintenance/repair activities are completed in accordance with applicable guidelines.

CORRECTIVE ACTION:

1. Discard any food contaminated as a result of maintenance/repair activities.
2. Clean and sanitize any food contact surface contaminated as a result of maintenance/repair activities.
3. The person in charge and/or other management staff will help coordinate and monitor activities of the contractor based on requests documented in the preventive maintenance log.

VERIFICATION AND RECORD KEEPING:

1. Management staff will audit compliance during the monthly food safety self-inspection.

Self-Inspection Program

Purpose: To supplement the active managerial control process by conducting a risk based food safety inspection and a verification audit of food safety management program documentation.

Scope: This procedure applies to certified food safety managers and/or HACCP managers.

INSTRUCTIONS/PROCEDURES:

1. Train all employees on the self-inspection program at a minimum of once annually.
2. Randomly conduct a self-inspection at a minimum of monthly.
3. Utilize FDA guide 3-A inspection form for risk based inspection.
4. Utilize FDA guide 3-B inspection form to properly score risk based inspection.
5. Verify all logs and corrective actions have been completed in accordance with established procedures.
6. Document all self inspection activities and associated corrective actions.

MONITORING:

1. The person in charge and/or other management staff will help coordinate the monthly self-inspections.

CORRECTIVE ACTION:

1. Immediately correct any priority or priority foundation violations identified during the self-inspection.
2. Develop corrective action plan for any violation that was not corrected immediately and/or was a repeat violation from the previous self-inspection.
3. Retrain any employee observed not following procedures during the self-inspection.

VERIFICATION AND RECORD KEEPING:

1. Management staff will review results of the monthly food safety self-inspection and post results.

Purchasing

Purpose: To reduce the risk of foodborne hazards by purchasing foods from approved reputable suppliers.

Scope: This procedure applies to all employees involved with purchasing.

INSTRUCTIONS/PROCEDURES:

1. Train applicable employees on purchasing procedures at a minimum of twice annually.
2. Follow Maricopa County Environmental Service Department requirements.
3. Foods may only be purchased from approved reputable suppliers holding current permits/registration from a federal, state, or local regulatory authority.
4. Suppliers will be pre-approved based on the following:
 - Suppliers must supply current regulatory permit and/or registration information.
 - Suppliers must supply emergency contact information and recall notification plan (means, product identification, disposition, etc.).
 - Suppliers for shellfish and raw fish must be capable of providing shellstock identification tags, parasite destruction records, farm raised fish designation, and/or any other HACCP documentation to demonstrate safety/controls for products supplied.
 - If requested, suppliers must be capable of providing additional documentation regarding their food safety program (HACCP, GAP, SOP's, lab testing, etc.), regulatory inspections, third party inspections, and/or provide access to applicable facilities for purpose of site inspection.
5. All invoices/orders must be maintained for a minimum of one year.
6. In the event of a recall the following must be completed:
 - Review invoices/orders to identify amount of product purchased/received.
 - Determine difference between product purchased/received and product remaining in inventory (including prepared foods).
 - Segregate and label all remaining product on site with date, time, and quantity while maintaining appropriate storage.
 - Document final disposition (destroyed or returned) of the segregated product on the invoice/order.
 - If necessary, notify Maricopa County Environmental Services of recalled products (Big 5 foodborne illnesses) that were served to consumer prior to recall notification.

MONITORING:

1. Management staff will help coordinate approval for new suppliers.
2. The person in charge and/or other management staff will help coordinate recall procedures.

Purchasing (continued)

CORRECTIVE ACTION:

1. Management staff will request additional food safety documentation for any supplier involved in a recall or not meeting requirements of this procedure.
2. Dispose or return any recalled product in accordance with manufacturer recall notification requirements.

VERIFICATION AND RECORD KEEPING:

1. Management staff will audit compliance during the monthly food safety self-inspection.

Receiving

Purpose: To reduce the risk of foodborne hazards associated with improper supplier storage, handling, and transport.

Scope: This procedure applies to all employees who handle, prepare, or serve food.

INSTRUCTIONS/PROCEDURES:

1. Train employees on receiving procedures at a minimum of twice annually.
2. Follow Maricopa County Environmental Service Department requirements.
3. Schedule deliveries to arrive at designated times during operational hours.
4. Post the delivery schedule, days/times of deliveries, and supplier information.
5. Organize freezer, refrigerator, and dry storage space before deliveries.
6. Gather order, temperature logs, calibrated thermometers, pens, flashlights, and clean loading carts before deliveries.
7. Compare delivery invoice against products ordered and products delivered.
8. Visually inspect delivery vehicle and all products for evidence of biological, chemical, and/or physical contamination.
9. Products should be rejected for the following:
 - Evidence of contamination.
 - Evidence of time/temperature abuse and/or TCS foods delivered in a vehicle without adequate temperature controls.
 - Expired, improperly labeled, or incorrect product(s).
 - Refrigerated TCS foods not received at 41°F or below.
 - Frozen TCS foods not received at 0°F or below.
 - Insufficient documentation (shellstock tags, parasite destruction records, etc.)
10. All products that are rejected will be documented on the on invoice/order or receiving log.
11. After receipt and prior to storage, date (Month, Day, and Year) all cases/packages for first in first out rotation.
12. Transfer TCS foods to their appropriate cold storage locations immediately.

NOTE: Shell eggs and shellfish may be received at an air temperature of 45°F or below. Milk may be received at 45°F or below.

MONITORING:

1. The person in charge and/or other management staff will help coordinate/supervise receiving timeframes and activities.
2. Discard or return any products that were improperly received.

Receiving (continued)

CORRECTIVE ACTION:

1. Reject any product that does not meet established standards.
2. Retrain any employee not following proper receiving procedures.

VERIFICATION AND RECORD KEEPING:

1. Management staff will audit compliance during the monthly food safety self-inspection.

SAMPLE

Storage

Purpose: To reduce the risk of foodborne hazards associated with improper storage.

Scope: This procedure applies to all employees who handle, prepare, or serve food.

INSTRUCTIONS/PROCEDURES:

1. Train employees on storage procedures at a minimum of twice annually.
2. Follow Maricopa County Environmental Service Department requirements.
3. Foods may only be stored in designated areas and in or on equipment designed for food storage (smooth, easily cleanable, in good repair, etc.).
4. Foods must be stored a minimum of six inches off the floor and in a manner that avoids contact with the wall.
5. Store all foods covered and in their original container or in a labeled container approved for use with food.
6. Rotate product based on the first in first out date labeled on the case. Individually packaged items removed from cases should be labeled with the receiving date when removed from the original case/package.
7. Adhere to the following storage guidelines:

Dry Storage

1. When possible, maintain dry goods in a low humidity environment at a temperature between 50°F and 70°F.

Refrigerated Storage

1. Maintain air temperature at or below 41°F (Critical Limit) at all times.
2. Store raw animal products separate from ready to eat foods OR store in a manner to prevent cross contamination. From top to bottom store based on the following (cooking temperature):
 - Ready to eat foods, fruits, vegetables
 - Whole seafood (fish, shellfish, crustaceans)
 - Whole meats (beef, pork) and commercially raised game
 - Ground meat and seafood, ratites, wild game, eggs
 - Poultry
3. Ensure all prepared/opened TCS foods are properly date marked (name, date, time)
4. Document cold storage temperatures at a minimum of twice daily and record corrective actions taken for any deviation from acceptable ranges. **(CRITICAL CONTROL POINT 1)**

Frozen Storage

1. Maintain air temperature at or below 0°F at all times OR 10°F or below for specialty items (ice cream freezers).
2. Document cold storage temperatures at a minimum of twice daily and record corrective actions taken for any deviation from acceptable ranges. **(CRITICAL CONTROL POINT 1)**

Storage (continued)

NOTE: All TCS foods must be maintained at a temperature of 41°F or below. A lack of adequate cold holding equipment or an inability to maintain temperatures of TCS foods at 41°F or below is considered an imminent health hazard and requires immediate corrective action and/or closure.

MONITORING:

1. The person in charge or other management staff will monitor storage practices during all hours of operation.
2. The person in charge or other management staff will review cold storage logs daily.

CORRECTIVE ACTION:

1. Retrain any employee who does not follow proper storage procedures.
2. Immediately repair any cold holding equipment that is not maintaining temperatures at or below 41°F.
3. Immediately move any TCS foods in non-functioning equipment to adequate storage or utilize other suitable means (ice blankets, dry ice, etc.) to maintain temperatures at or below 41°F.
4. Rapidly cool or cook any food that is being monitored and that is above 41°F for less than two hours.
5. Discard any TCS food that is above 41°F and unmonitored for more than two hours.

VERIFICATION AND RECORD KEEPING:

1. Management staff will audit compliance during the monthly food safety self-inspection.

Thawing

Purpose: To reduce the risk of foodborne illness associated with time temperature abuse during thawing of TCS foods.

Scope: This procedure applies to all employees who handle, prepare, or serve food.

INSTRUCTIONS/PROCEDURES:

1. Train employees on thawing procedures at a minimum of twice annually.
2. Follow Maricopa County Environmental Service Department requirements.
3. TCS foods may be thawed utilizing one of the following methods:
 - Thaw foods in refrigerated storage maintained at or below 41°F.
 - Thaw foods as part of the cooking process.
 - Thaw foods in a microwave immediately before cooking using conventional cooking methods
 - Thaw foods submerged and under cool running water that is 70°F or below in less than four hours before cooking using conventional cooking methods.

MONITORING:

1. The person in charge or other management staff will monitor thawing practices during all hours of operation.

CORRECTIVE ACTION:

1. Retrain any employee who does not follow proper thawing procedures.
2. Discard any food that has utilized improper thawing methods.

VERIFICATION AND RECORD KEEPING:

1. Management staff will audit compliance during the monthly food safety self-inspection.

Preparation

Purpose: To reduce the risk of foodborne hazards associated with improper food preparation.

Scope: This procedure applies to all employees who handle, prepare, or serve food.

INSTRUCTIONS/PROCEDURES:

1. Train employees on food preparation procedures at a minimum of twice annually.
2. Follow Maricopa County Environmental Service Department requirements.
3. Employees must wash hands when entering food prep areas and prior to working with foods.
4. Bare hand contact is prohibited with ready to eat foods.
5. Utilize only clean and sanitized utensils, equipment, and work areas when preparing foods.
6. Utilize the following color coding for cutting boards and knives:
 - Yellow – Poultry
 - Red – Meats (beef, pork, veal)
 - Blue – Seafood
 - Green – Fruits and Vegetables
 - White – All other ready to eat foods
7. Prepare raw animal products and ready to eat foods in separate designated areas.
8. Utilize the following batch preparation methods to reduce the amount of time that TCS foods spend in the temperature danger zone during preparation.
 - Remove small amounts of TCS foods from cold storage when ready for preparation.
 - Bulk TCS foods should be placed on ice or in smaller containers during preparation.
 - When possible, continuously monitor temperature of TCS food or at least a minimum of every hour during preparation.
 - Cover, date mark, and return all TCS foods to cold storage immediately following preparation (if applicable).
9. Employees must wash hands and change gloves (if necessary) between tasks and/or between handling ready to eat foods.
10. Utensils must be cleaned and sanitized (or replaced) following use or at a minimum of every four hours during continuous (uninterrupted) preparation activities.

Wiping Cloth Use

1. Wiping cloths used for spill must be clean, dry, and used for no other purpose. Disposable towels are acceptable.
2. Wiping cloth used for surfaces and equipment during continuous use must:
 - Be held in a clean and unsoiled sanitizer solution at the proper concentration.
 - Be replaced as needed with clean properly laundered cloths.
 - Cloths used to wipe surfaces in contact with raw animal products may not be used for any other purpose or area.
 - Stored off the floor and maintained in a manner to prevent contamination.

Preparation (continued)

MONITORING:

1. The person in charge or other management staff will monitor all preparation practices (including color coding) during all hours of operation.

CORRECTIVE ACTION:

1. Retrain any employee who does not follow proper preparation procedures.
2. Discard any ready to eat food contaminated during the preparation process.
3. Discard or reheat any raw animal product contaminated during the preparation process.
4. Rapidly cool any TCS food not prepared in accordance with batch preparation methods and that is above 41°F for less than two hours.
5. Discard any TCS food not prepared in accordance with batch preparation methods and that is above 41°F for more than two hours.

VERIFICATION AND RECORD KEEPING:

1. Management staff will audit compliance during the monthly food safety self-inspection.

SAMPLE

Cooking and Reheating

Purpose: To reduce the risk of foodborne hazards by cooking and reheating foods to adequate internal temperatures.

Scope: This procedure applies to all employees who handle, prepare, or serve food.

INSTRUCTIONS/PROCEDURES:

1. Train employees on storage procedures at a minimum of twice annually.
2. Follow Maricopa County Environmental Service Department requirements.
3. For specialized cooking processes refer to the production specifications for specified critical limits.
4. At a minimum, TCS foods must be conventionally cooked to the following temperatures: **(CRITICAL CONTROL POINT 2)**
 - a) Critical Limit - 165°F for 15 seconds
 - Poultry (chicken, turkey, duck)
 - Stuffed foods
 - Foods that have been previously cooked (reheating, partially cooked foods)
 - b) Critical Limit - 155°F for 15 seconds
 - Ground or comminuted meats (beef, pork, lamb)
 - Ground or comminuted fish
 - Eggs for self service
 - Ratites and wild game
 - c) Critical Limit - 145°F for 15 seconds
 - Seafood (fish, shellfish, crustaceans)
 - Meats (beef, pork, lamb)
 - Commercially raised game
 - Eggs for immediate service)
 - d) Critical Limit - 135°F for 15 seconds (for hot holding)
 - Plant foods (vegetables, grains, legumes)
 - Previously cooked commercially processed and packaged ready to eat foods
 - e) OR at a minimum, TCS foods may be **slow cooked** to the following time/temperature parameters:
 - Critical Limit - 145°F for 4 minutes
 - Critical Limit - 144°F for 5 minutes
 - Critical Limit - 142°F for 8 minutes
 - Critical Limit - 140°F for 12 minutes
 - Critical Limit - 138°F for 18 minutes
 - Critical Limit - 136°F for 28 minutes
 - Critical Limit - 135°F for 36 minutes
 - Critical Limit - 133°F for 56 minutes
 - Critical Limit - 131°F for 89 minutes
 - Critical Limit - 130°F for 112 minutes

Cooking and Reheating (continued)

5. A clean, sanitized, and calibrated stem/penetration probe thermometer must be utilized to check internal temperatures for cooking and reheating TCS foods
6. Internal temperatures should be taken at the thickest part of the food and in multiple places when possible.
7. Internal temperatures must be taken prior to serving any TCS food. Document hot holding temperatures at a minimum of twice daily and record corrective actions taken for any deviation from acceptable ranges.

Raw and/or Undercooked Foods

1. Any animal derived TCS food that is served raw or undercooked must include a consumer advisory that includes a **disclosure** and **reminder** that are prominently documented.
2. The disclosure must include a written description of the "raw" animal derived food or an "asterisk with footnote" identifying the animal derived ingredient that may be served raw or undercooked.
3. The reminder must include a written description stating that, "Consuming raw or undercooked meats, poultry, seafood, shellfish, or eggs may increase your risk of foodborne illness; OR Consuming raw or undercooked meats, poultry, seafood, shellfish, or eggs may increase your risk of foodborne illness, especially if you have certain medical conditions. The reminder may be prominently displayed and/or provide a clear statement that written disclosure is available upon request.

MONITORING:

1. The person in charge or other management staff will monitor cooking and reheating procedures during all hours of operation.
2. The person in charge or other management staff will review cooking and reheating logs daily.

CORRECTIVE ACTION:

1. Retrain any employee who does not follow proper cooking and reheating procedures.
2. Continue cooking any TCS food that has not reached minimum internal cooking or reheating temperature.
3. Discard any food that does not meet minimum internal cooking temperature and is not addressed in a consumer advisory.

VERIFICATION AND RECORD KEEPING:

1. Management staff will audit compliance during the monthly food safety self-inspection.

Hot Holding

Purpose: To reduce the risk of foodborne hazards associated with improper hot holding

Scope: This procedure applies to all employees who handle, prepare, or serve food.

INSTRUCTIONS/PROCEDURES:

1. Train employees on transport procedures at a minimum of twice annually.
2. Follow Maricopa County Environmental Service Department requirements.
3. Hot holding equipment must be commercial grade and approved for storage.
4. At a minimum, TCS foods must be held at or above 135°F (Critical Limit). **(CRITICAL CONTROL POINT 3)**
5. A clean, sanitized, and calibrated stem/penetration probe thermometer must be utilized to check internal temperatures for hot held TCS foods
6. Internal temperatures should be taken at the thickest part of the food and in multiple places when possible.
7. Internal temperatures must be taken prior to serving any TCS food.
8. Document hot holding temperatures at a minimum of twice daily and record corrective actions taken for any deviation from acceptable ranges.

MONITORING:

1. The person in charge or other management staff will monitor hot holding practices during all hours of operation.
2. The person in charge or other management staff will review hot holding logs daily.

CORRECTIVE ACTION:

1. Retrain any employee who does not follow proper storage procedures.
2. Immediately repair any hot holding equipment that is not maintaining temperatures at or above 135°F.
3. Immediately move any TCS foods in non-functioning equipment to adequate holding to maintain temperatures at or below 135°F.
4. Rapidly reheat any food that is being monitored and that is below 135°F for less than two hours.
5. Discard any TCS food that is below 135°F and unmonitored for more than two hours.

VERIFICATION AND RECORD KEEPING:

1. Management staff will audit compliance during the monthly food safety self-inspection.

Cooling

Purpose: To reduce the risk of foodborne hazards associated with improper cooling.

Scope: This procedure applies to all employees who handle, prepare, or serve food.

INSTRUCTIONS/PROCEDURES:

1. Train employees on cooling procedures at a minimum of twice annually.
2. Follow Maricopa County Environmental Service Department requirements.
3. Utilize the following cooling methods to reduce the amount of time that TCS foods spend in the temperature danger zone during cooling.
 - Place foods in to small shallow pans.
 - Cut large portions in to small portions.
 - Stir the food to eliminate heat.
 - Place food in an ice water bath or utilize and ice paddle.
 - Add consumable ice as an ingredient.
 - Keep foods uncovered during the cooling process.
4. Cool TCS food using the following two stage process: **(CRITICAL CONTROL POINT 4)**
 - Cool TCS food from 135°F to 70°F (Critical Limit) in no more than two hours (Critical Limit) .
 - Cool from 70°F to 41°F (Critical Limit) in the remaining four hours (Critical Limit). The total cooling process may not exceed more than 6 hours total.
5. A clean, sanitized, and calibrated stem/penetration probe thermometer must be utilized to check internal temperatures for TCS foods during cooling.
6. Internal temperatures should be taken at the thickest part of the food and in multiple places when possible.
7. Document cooling times and temperatures for all cooled foods and record corrective actions taken for any deviation from acceptable ranges.

MONITORING:

1. The person in charge or other management staff will monitor cooling methods during all hours of operation.
2. The person in charge or other management staff will review cooling logs daily.

CORRECTIVE ACTION:

1. Retrain any employee who does not follow proper cooling procedures.
2. Discard any TCS food not cooled utilizing an approved cooling method.
3. Rapidly reheat any food that is being cooled and that is still above 70°F during the first two hours of cooling.
4. Discard any TCS food that exceeds 70°F for more than two hours in the first stage of cooling or more than six hours total during the second stage of cooling.

Cooling (continued)

VERIFICATION AND RECORD KEEPING:

1. Management staff will audit compliance during the monthly food safety self-inspection.

SAMPLE

Time as a Public Health Control

PURPOSE: To reduce the risk of foodborne hazards in foods held using time as a control.

SCOPE: This procedure applies to all employees who handle, prepare, or serve food.

INSTRUCTIONS:

1. Train all employees on Time as a Public Health Control procedure at a minimum of twice annually.
2. All foods using Time as a Control will be pre-determined and recorded on the Time as a Control Log.
3. For purposes of using Time as a Control the following definitions will apply:
 - Hot Food: TCS Food that has been verified to have a temperature of 135°F or higher when removed from hot holding.
 - Cold Food: TCS Food that has been verified to have a temperature of 41°F or lower when removed from cold holding.
4. Foods subject to Time as a Control will be recorded as a hot food (4 hours) or cold food (6 hours) by recording the actual time and temperature on the Time as a Control log when removed from hot/cold holding.
5. All foods subject to Time as a Control will be sold, served, or discarded within four hours for a hot food or six hours for a cold food.
6. Cold foods will be monitored at a minimum of every two hours to ensure the food maintains a temperature of 70°F or lower during service. Any cold food that exceeds 70°F will be considered a hot food and be discarded within four hours.
7. Foods that have been removed from hot/cold holding for use as time as a control may not be cooled, reheated, and/or combined with other foods for future use. These foods must be sold, served, or discarded within the documented timeframe.

MONITORING:

1. The person in charge or other management staff will monitor Time as a Control logs and procedures during all hours of operation to ensure compliance.
2. The person in charge or other management staff will review time as a control logs daily.

CORRECTIVE ACTION:

1. Retrain any employee not adhering to Time as a Control procedure.
2. Discard any affected food designated for Time as a Control and without the appropriate documentation according to procedures.
3. Discard any food that exceeds the specified time range.

VERIFICATION AND RECORD KEEPING:

1. Management staff will audit compliance during the monthly food safety self-inspection.

Service

Purpose: To reduce the risk of foodborne hazards associated with service.

Scope: This procedure applies to all employees who handle, prepare, or serve food.

INSTRUCTIONS/PROCEDURES:

1. Train employees on service procedures at a minimum of twice annually.
2. Follow Maricopa County Environmental Service Department requirements.
3. Utilize only clean and sanitized utensils, equipment, and areas when serving foods.
4. In use utensils may be stored:
 - In the food with the handle extended above the rim.
 - On a clean and sanitized surface, if the utensil is cleaned and sanitized (or replaced) at least every four hours.
5. Open tableware must be cleaned and sanitized following service. Tableware (open or wrapped) removed at time of service and properly stored may still be used.

Self-Service

1. All equipment used for self service must be commercial grade and approved for food service.
2. Suitable utensils must be provided for each food item offered.
3. Clean tableware must be available for use with second portions and refills in self-service.
4. Raw animal products must be maintained separately from ready to eat foods to reduce risk of cross contamination during transport.
5. First in first out procedures must be utilized for replacement of foods offered for self-service.
6. All open foods must be protected from contamination by the use of lids, sneeze guards, and/or other suitable means.
7. At a minimum, cold TCS foods must be held at or above 41°F or below during service. **(CRITICAL CONTROL POINT 1)**
8. At a minimum, hot TCS foods must be held at or above 135°F or above during service. **(CRITICAL CONTROL POINT 3)**
9. A clean, sanitized, and calibrated stem/penetration probe thermometer must be utilized to check internal temperatures for TCS foods upon arrival.
10. Document cold and hot holding temperatures at a minimum of twice daily and record corrective actions taken for any deviation from acceptable ranges.

MONITORING:

1. The person in charge or other management staff will monitor service practices during all hours of operation.
2. The person in charge or other management staff will review hot and cold holding logs daily.

Service (continued)

CORRECTIVE ACTION:

1. Retrain any employee who does not follow proper service procedures.
2. Discard any food that has been contaminated as a result of consumer self-service.
3. Discard any cold TCS food that is above 41°F and unmonitored for more than two hours.
4. Rapidly cool any food that is being monitored and that is above 41°F for less than two hours.
5. Discard any hot TCS food that is below 135°F and unmonitored for more than two hours.
6. Rapidly reheat any food that is being monitored and that is below 135°F for less than two hours.

VERIFICATION AND RECORD KEEPING:

1. Management staff will audit compliance during the monthly food safety self-inspection.

Food Transport

Purpose: To reduce the risk of foodborne hazards associated with improper transport of food.

Scope: This procedure applies to all employees who handle, prepare, or serve food.

INSTRUCTIONS/PROCEDURES:

1. Train employees on food transport procedures at a minimum of twice annually.
2. Follow Maricopa County Environmental Service Department requirements.
3. Transport vehicles must be approved for transport and maintained in a sanitary manner at all times.
4. Transport equipment must be commercial grade and approved for transport of foods.
5. Raw animal products must be transported separately from ready to eat foods to reduce risk of cross contamination during transport.
6. At a minimum, cold TCS foods must be held at or above 41°F or below during transport. **(CRITICAL CONTROL POINT 1)**
7. At a minimum, hot TCS foods must be held at or above 135°F or above during transport. **(CRITICAL CONTROL POINT 3)**
8. A clean, sanitized, and calibrated stem/penetration probe thermometer must be utilized to check internal temperatures for TCS foods upon arrival.
9. Upon arrival, document cold and hot holding temperatures for all transported TCS foods and record corrective actions taken for any deviation from acceptable ranges.

MONITORING:

1. The person in charge or other management staff will monitor transport practices during all hours of operation.
2. The person in charge or other management staff will review transport logs daily.

CORRECTIVE ACTION:

1. Retrain any employee who does not follow proper transport procedures.
2. Discard any cold TCS food that is above 41°F and unmonitored for more than two hours.
3. Rapidly cool any food that is being monitored and that is above 41°F for less than two hours.
4. Discard any hot TCS food that is below 135°F and unmonitored for more than two hours.
5. Rapidly reheat any food that is being monitored and that is below 135°F for less than two hours.

VERIFICATION AND RECORD KEEPING:

1. Management staff will audit compliance during the monthly food safety self-inspection.



Cold Holding Log

Equipment/Location(s): *Walk in refrigerator*

[illegible]

*Person in Charge or other Management staff must monitor log completion daily by initialing next to the date or recording.

Critical Limit: 41°F or lower. Target temperature range of 34°F - 38°F for refrigerated storage and -10°F - 0°F for frozen storage.

Corrective Action(s)/Notes:



Cooking/Reheating Log

[illegible]

*Person in Charge or other Management staff must monitor log completion daily by initialing next to the date or recording.

Critical Limits: 165°F for poultry, stuffed items, reheating; 155°F for ground meats & fish, eggs for hot holding; 145°F for whole meats & seafood, eggs for immediate service; 135°F for fruits, vegetables, grains for hot holding.

Corrective Action(s)/Notes:



Hot Holding Log

Equipment/Location(s): *Line #1 warmer*

[illegible]

*Person in Charge or other Management staff must monitor log completion daily by initialing next to the date or recording.

Critical Limit: 135°F or higher.

Corrective Action(s)/Notes:



Cooling Log

[illegible]

*Person in Charge or other Management staff must monitor log completion daily by initialing next to the date or recording.

Critical Limit: 135°F to 70°F in two hours (Stage 1) and 70°F to 41°F in four hours (Stage 2).

Corrective Action(s)/Notes:

Time as a Control Log

Foods Subject to Time as a Control: *Cut tomatoes, cut lettuce.*

Equipment/Location(s): *Salad Bar*

RL

Date	Time	Hot/ Cold	TCS Food	Time/Temp Check # 1	Time/Temp Check # 2	Use/Discard Time	Initials
1/1/14	10:00a	Cold	Cut Tomatoes	12:00p / 48°F	NA	1:00p	FW
1/1/14	1:00p	Cold	Cut Tomatoes	3:00p / 45°F	5:00 / 51°F	5:30p	FW

Corrective Action(s)/Notes:



Transport Log

Delivery Location(s): *Church Kitchen*

[illegible]

*Person in Charge or other Management staff must monitor log completion daily by initialing next to the date or recording.

Critical Limit: 41°F or lower for cold foods and 135°F or higher for hot foods.

Corrective Action(s)/Notes:



High Temp Dish Machine Log

[illegible]

*Person in Charge or other Management staff must monitor log completion daily by initialing next to the date or recording.

Critical Limit: 180°F or higher. Any reading out of range requires immediate correction.

Corrective Action(s)/Notes:



Master Chemical Log

Designated Storage Area(s): *Chemical storage closet*

[illegible]



Preventive Maintenance Log

[illegible]

*Only authorized personnel is authorized to repair equipment. All areas/equipment subject to repair must be cleaned and sanitized prior to use (if applicable).

Food Establishment Inspection Report										Page ____ of ____	
As Governed by State Code Section XXX.XXX					No. of Risk Factor/Intervention Violations			Date			
Do Good County					No. of Repeat Risk Factor/Intervention Violations			Time In			
12344 Any Street, Our Town, State 11111					Score (optional)			Time Out			
Establishment			Address		City/State			Zip Code		Telephone	
License/Permit #			Permit Holder		Purpose of Inspection			Est. Type		Risk Category	
FOODBORNE ILLNESS RISK FACTORS AND PUBLIC HEALTH INTERVENTIONS											
Circle designated compliance status (IN, OUT, N/O, N/A) for each numbered item Mark "X" in appropriate box for COS and/or R IN=in compliance OUT=not in compliance N/O=not observed N/A=not applicable COS=corrected on-site during inspection R=repeat violation											
Compliance Status					Compliance Status						
Supervision					Time/Temperature Control for Safety						
1 IN OUT Person in charge present, demonstrates knowledge, and performs duties					17 IN OUT Proper disposition of returned, previously served, reconditioned & unsafe food						
2 IN OUT N/A Certified Food Protection Manager					Time/Temperature Control for Safety						
Employee Health					18 IN OUT N/A N/O Proper cooking time & temperatures						
3 IN OUT Management, food employee and conditional employee; knowledge, responsibilities and reporting					19 IN OUT N/A N/O Proper reheating procedures for hot holding						
4 IN OUT Proper use of restriction and exclusion					20 IN OUT N/A N/O Proper cooling time and temperature						
5 IN OUT Procedures for responding to vomiting and diarrheal events					21 IN OUT N/A N/O Proper hot holding temperatures						
Good Hygienic Practices					22 IN OUT N/A N/O Proper cold holding temperatures						
6 IN OUT N/O Proper eating, tasting, drinking, or tobacco use					23 IN OUT N/A N/O Proper date marking and disposition						
7 IN OUT N/O No discharge from eyes, nose, and mouth					24 IN OUT N/A N/O Time as a Public Health Control; procedures & records						
Preventing Contamination by Hands					Consumer Advisory						
8 IN OUT N/O Hands clean & properly washed					25 IN OUT N/A Consumer advisory provided for raw/undercooked food						
9 IN OUT N/A N/O No bare hand contact with RTE food or a pre-approved alternative procedure properly allowed					Highly Susceptible Populations						
10 IN OUT Adequate handwashing sinks properly supplied and accessible					26 IN OUT N/A Pasteurized foods used; prohibited foods not offered						
Approved Source					Food/Color Additives and Toxic Substances						
11 IN OUT Food obtained from approved source					27 IN OUT N/A Food additives: approved & properly used						
12 IN OUT N/A N/O Food received at proper temperature					28 IN OUT N/A Toxic substances properly identified, stored, & used						
13 IN OUT Food in good condition, safe, & unadulterated					Conformance with Approved Procedures						
14 IN OUT N/A N/O Required records available: shellstock tags, parasite destruction					29 IN OUT N/A Compliance with variance/specialized process/HACCP						
Protection from Contamination					Risk factors are important practices or procedures identified as the most prevalent contributing factors of foodborne illness or injury. Public health interventions are control measures to prevent foodborne illness or injury.						
15 IN OUT N/A N/O Food separated and protected											
16 IN OUT N/A Food-contact surfaces; cleaned & sanitized											
GOOD RETAIL PRACTICES											
Good Retail Practices are preventative measures to control the addition of pathogens, chemicals, and physical objects into foods. Mark "X" in box if numbered item is not in compliance Mark "X" in appropriate box for COS and/or R COS=corrected on-site during inspection R=repeat violation											
Safe Food and Water					Proper Use of Utensils						
30 Pasteurized eggs used where required					43 In-use utensils: properly stored						
31 Water & ice from approved source					44 Utensils, equipment & linens: properly stored, dried, & handled						
32 Variance obtained for specialized processing methods					45 Single-use/single-service articles: properly stored & used						
Food Temperature Control					46 Gloves used properly						
33 Proper cooling methods used; adequate equipment for temperature control					Utensils, Equipment and Vending						
34 Plant food properly cooked for hot holding					47 Food & non-food contact surfaces cleanable, properly designed, constructed, & used						
35 Approved thawing methods used					48 Warewashing facilities: installed, maintained, & used; test strips						
36 Thermometers provided & accurate					49 Non-food contact surfaces clean						
Food Identification					Physical Facilities						
37 Food properly labeled; original container					50 Hot & cold water available; adequate pressure						
Prevention of Food Contamination					51 Plumbing installed; proper backflow devices						
38 Insects, rodents, & animals not present					52 Sewage & waste water properly disposed						
39 Contamination prevented during food preparation, storage & display					53 Toilet facilities: properly constructed, supplied, & cleaned						
40 Personal cleanliness					54 Garbage & refuse properly disposed; facilities maintained						
41 Wiping cloths: properly used & stored					55 Physical facilities installed, maintained, & clean						
42 Washing fruits & vegetables					56 Adequate ventilation & lighting; designated areas used						
Person in Charge (Signature)					Date:						
Inspector (Signature)					Follow-up: YES NO (Circle one) Follow-up Date:						

Food Establishment Inspection Report

Page ____ of ____

[illegible]

Guide**3-B Instructions for Marking the Food Establishment Inspection Report,
Including Food Code References for Risk Factors/Interventions and
Good Retail Practices**

Guide 3-B is intended to be used during inspections to ensure that observations of the provisions of the Code are not overlooked during the inspection and accurately recorded on the Food Code Establishment Inspection Report form.

The major headings from the Food Establishment Inspection Report form are condensed in Guide 3-B into key word phrases to assist the person conducting inspections in locating the Food Code citation that corresponds to a given violation and recording inspectional observations. The risk designations (Priority^(P), Priority Foundation^(Pf) and Core^(C)) have been added to each applicable code section for reference when recording observations in the inspection report.

GUIDE

3-B

**Instructions for Marking the Food Establishment Inspection Report,
Including Food Code References for Risk Factors/Interventions and
Good Retail Practices**

All references and code sections in these marking instructions are based on the 2009 Food Code and its Supplement.

A. GENERAL MARKING INSTRUCTIONS

HEADER Information

Establishment	Complete this section using the “usual/common name” or “Doing Business As” name of the business. This information should be the same as the license/permit application completed at the initiation of the business.
Address	Street address of the actual business location
Zip Code	Actual business location
Telephone	Contact phone number for the establishment
License/Permit #	License number or tracking identification
Permit Holder	Name of Owner or Operator as shown on application
Purpose	The reason for the inspection – routine, re-inspection, complaint, or follow-up, etc.
Est. Type	Description or code for describing the type of facility (e.g. restaurant, market, vehicle, temporary food facility)
Risk Category	Designation of risk/priority level for determining frequency of inspection
Number of Risk Factor/ Intervention Violations	The number of boxes marked OUT in items 1-27 should be counted and the total number placed here
Number of Repeat Risk Factor/Intervention Violations	The number of boxes marked R (repeat) in items 1-27 should be counted and the total number placed here
Score (optional)	A score is optional for this form. If a jurisdiction has a scoring system, it should be incorporated into the inspection form and the score of an inspection placed here.
Date	The date of the inspection including month, day, and year
Time In	The actual time the inspection begins
Time Out	The actual time the inspection ends

B. RISK FACTORS AND INTERVENTIONS

Risk factors are food preparation practices and employee behaviors most commonly reported to the Centers for Disease Control and Prevention (CDC) as contributing factors in foodborne illness outbreaks. Risk factors include: Food from Unsafe Sources, Improper Holding Temperatures, Inadequate Cooking, Contaminated Equipment, and Poor Personal Hygiene. These items are prominent on the Food Establishment Inspection Report because maintaining these items in compliance is vital to preventing foodborne illness. Additionally, five key public health interventions were introduced in the 1993 Food Code that supplemented the other interventions long-established by the Food and Drug Administration (FDA) model codes and guidances to protect consumer health. The five key interventions are: Demonstration of Knowledge, Employee Health Controls, Controlling Hands as a Vehicle of Contamination, Time and

Temperature Parameters for Controlling Pathogens, and the Consumer Advisory.

For each item on the inspection report form in the Foodborne Illness Risk Factors and Public Health Interventions section, the inspector should indicate one of the following for **COMPLIANCE STATUS**: “**IN**” which means that the item is in compliance; “**OUT**” which means that the item is not in compliance; “**N.O.**” which means that the item was not observed during the inspection; or “**N.A.**” which means that the item is not applicable for the facility. If N.A. or N.O. is not listed as an option for a particular item, this means that this item must be evaluated during the inspection and a compliance status must be determined. **If the item is marked “OUT”, document details of each violation for the item number in the “Observations and Corrective Actions” section on the second page of the inspection report.** Compliance status should be determined as a result of observations that establish a pattern of non-compliance. Consideration should be given to the seriousness of the observation with regard to prevention of foodborne illness.

For items marked “**OUT**,” further indicate the status of the violation by marking an “**X**” in the corresponding box for Corrected On-Site (**COS**) during the inspection and/or Repeat violation (**R**). Marking **COS** indicates that all violations cited under that particular item number have been corrected and verified before completing the inspection. The actual corrective action taken for each violation should be documented in the “Observations and Corrective Actions” section of the inspection report. For example, Item #10 *Handwashing sink* is marked out of compliance because the establishment does not have soap and paper towels at the handwashing sink. The person in charge partially corrects the problem by putting soap at the sink, but does not replace the paper towels or provide any other effective means for drying hands. The corrective action taken for the soap is documented in the narrative on the form, but **COS** is not marked for Item #10 because all violations under that item were not corrected. Marking **R** indicates that the same violation under a particular item number was cited on the last inspection report. Using the same scenario, on the subsequent inspection if the provision of soap and paper towels is not in violation, but employees are not washing hands in the correct sink (which is also cited under Item #8 *Handwashing sink*), **R** would not be marked because this is a new violation which was not cited on the previous inspection report.

C. MARKING INSTRUCTIONS FOR EACH RISK FACTOR AND INTERVENTION ON THE INSPECTION REPORT

Supervision

1. PIC present, demonstrates knowledge, and performs duties

IN/OUT This item must be marked IN or OUT of compliance. The person in charge (PIC) has three assigned responsibilities – Presence; Demonstration of Knowledge; and Duties. This item is marked OUT of compliance if any one of the responsibilities is not met.

- A. Person in charge is present. This item is marked OUT of compliance if there is no PIC per 2-101.11(A) and (B).
- B. Demonstration of Knowledge. The PIC has three options for demonstrating knowledge. This item is marked IN compliance if the PIC meets at least one of the options. The three options for demonstration of knowledge allowed by the Food Code are:
 1. Certification by an ACCREDITED PROGRAM as specified in 2-102-20.
 2. Complying with this Code by having no violations of priority items during the current inspection; or

3. Correct responses to the inspector's questions regarding public health practices and principles applicable to the operation. The inspector should assess this item by asking open-ended questions that would evaluate the PIC's knowledge in each of the areas enumerated in ¶ 2-102.11(C)(1), (4)-(16). Questions can be asked during the initial interview, menu review, or throughout the inspection as appropriate. The Inspector should ask a sufficient number of questions to enable the inspector to make an informed decision concerning the PIC's knowledge of the Code requirements and public health principles as they apply to the operation. The dialogue should be extensive enough to reveal whether or not that person is enabled by a clear understanding of the Code and its public health principles to follow sound food safety practices and to produce foods that are safe, wholesome, unadulterated, and accurately represented.
- C. Duties of the PIC. This item must be marked IN or OUT of compliance based on the interaction and observation with the PIC and food employee. The inspector needs to determine the systems or controls the PIC has put into practice regarding oversight and/or routine monitoring of the Duties listed in § 2-103.11. This is accomplished by 1) discussion with the PIC, and 2) verified through observation that the systems or controls are actually being implemented. This concept is commonly referred to as Active Managerial Control. This item must be marked OUT of compliance when there is a pattern of non-compliance and obvious failure by the PIC to ensure employees are complying with the duties listed in § 2-103.11. Since marking this item out of compliance requires judgment, it is important that this item not be marked for an isolated incident, but rather for an overall evaluation of the PIC's ability to ensure compliance with the duties described in § 2-103.11.

N.A. Do Not Mark this item N.A.

N.O. Do Not Mark this item N.O.

Applicable Code Section:

2-101.11	Assignment ^(Pf)
2-102.11(A), B) and (C)(1), (4)-(16)	Demonstration ^(Pf)
2-103.11 (A)-(O)	Person-In-Charge-Duties ^(Pf)

2. Certified Food Protection Manager

IN/OUT This item must be marked IN or OUT of compliance. This item is marked IN compliance when it is observed that at least one employee that has supervisory and management responsibility and the authority to direct and control food preparation and service is a certified food protection manager. This item is marked OUT when it is observed that there is no employee with supervisory and management responsibility with the authority to direct and control food preparation that is deemed a certified food protection manager or the certified food protection manager certificate is deemed not to be from an accredited program.

N.A. This item may be marked N.A. if the establishment is deemed by the Regulatory Authority to not apply due to the minimal risk of causing, or contributing to foodborne illness based on the nature of the operation and extent of food operation.

N.O. Do NOT MARK this item N.O.

Applicable Code Section:

2-102.12(A)	Certified Food Protection Manager ^(C)
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Employee Health/Responding to Contamination Events

3. Management and food employee knowledge, and conditional employee; responsibilities and reporting.

IN/OUT This item must be marked IN or OUT of compliance. This item is marked IN compliance when the following criteria are met:

1. The PIC is aware of his or her responsibility to inform food employees and conditional employees of their responsibility to report certain symptoms or diagnosed diseases to the person in charge and for the PIC to report to the regulatory authority as specified under Food Code ¶ 2-103.11(M) and ¶¶ 2-201.11 (A),(B), (C), and (E); **and**
2. The PIC provides documentation or otherwise satisfactorily demonstrates during the inspection, that all food employees and conditional employees are informed of their responsibility to report to management information about their health and activities as it relates to diseases that are transmissible through food, as specified under ¶ 2-201.11(A). Satisfactory compliance may be documented by completion of Form 1-B, Conditional Employees or Food Employees Reporting Agreement, in Annex 7 of the 2009 Food Code for each employee or other similar State or local form containing the same information; **or**
3. In lieu of Form 1-B, compliance may be demonstrated by:
 - a) Presenting evidence such as a curriculum and attendance rosters documenting that each employee has completed a training program which includes all the information required on Form 1-B regarding their reporting responsibilities; **or**
 - b) Implementation of an employee health policy which includes a system of employee notification using a combination of training, signs, pocket cards, or other means to convey all of the required information on Form 1-B to all food employees and conditional employees. A signed acknowledgement by the employee should be part of any employee health policy.

The regulatory authority is encouraged to establish a policy of selecting one employee at random during each inspection and requesting the PIC verify, by one of the previously listed methods, that the selected employee has been **informed** of his or her responsibility to report symptoms, exposures, and diagnosed illnesses to management. The PIC is not expected to quote symptoms and diseases from memory, but should be able to locate that information on Form 1-B or similar documents used to demonstrate compliance.

Additional information is provided in Annex 3 of the Public Health Reasons for Subpart 2-201, including a number of questions, which may be used as a reference to assist the regulatory authority in determining compliance with this item.

N.A. Do Not Mark this item N.A.

N.O. Do Not Mark this item N.O.

Applicable Code Sections:

2-102.11(C)(2),(3) and (17)

2-103.11(M)

2-201.11(A), (B), (C), & (E)

Demonstration ^(Pf)

Person in Charge-Duties ^(Pf)

Responsibility of Permit Holder, Person in Charge, and Conditional Employees ^(P,Pf)

4. Proper use of restriction and exclusion

IN/OUT This item must be marked IN or OUT of compliance. Compliance must be based on first hand observations or information and cannot be based solely on responses from the PIC to questions regarding hypothetical situations or knowledge of the Food Code. This item is marked IN when the following criteria are observed at the time of the inspection:

- There are no ill employees.
- There are no employees experiencing symptoms with or without a diagnosis that require reporting, or reason for the PIC to exclude or restrict an employee
- A food employee who works in a food establishment serving a HSP or non-HSP, is restricted due to diagnoses with an infection from nontyphoidal *Salmonella* and is asymptomatic

This item should be marked OUT of compliance when:

- The inspector observes a working employee with specific reportable symptoms (subparagraph 2-201.11 (A)(1)); or
- The inspector becomes aware that an employee has reported information about his or her health and activities as it relates to diseases that are transmissible through food and the PIC has not acted to restrict/exclude an employee as required by the Food Code (§2-201.12 & §2-201.13); or
- The inspector becomes aware that the PIC has not notified the Regulatory Authority that an employee is jaundiced or diagnosed with an illness due to a pathogen as specified under subparagraphs 2-201.11 (A)(2)(a)-(f) of the Food Code.
- There are food employees working in the food establishment that have been diagnosed with an illness as specified in paragraphs 2-201.11(A)(2-5); Additionally, in food establishments exclusively serving a highly susceptible population, there are to be no food employees with an active sore throat with a fever working in the food establishment.

N.A. Do Not Mark this item N.A.

N.O. Do Not Mark this item N.O.

Applicable Code Sections:

2-201.11 (D) and (F) Responsibility of Permit Holder, Person in Charge, and Conditional Employees-
Responsibility of the PIC to Exclude or Restrict ^(P,)
2-201.12 Exclusions & Restrictions ^(P)
2-201.13 Removal, Adjustment, or Retention of Exclusions & Restrictions ^(P)

5, Clean-up of Vomiting and Diarrheal Events

IN/OUT This item should be marked IN or OUT of compliance. This item is marked IN compliance when it is demonstrated that the food establishment has procedures for employees to follow when responding to vomiting or diarrheal events that involve the discharge of vomitus or fecal matter onto surfaces in the food establishment. Refer to the Public Health Reasons (§2-501.11 Clean up of Vomiting and Diarrheal Events) for suggested recommendations as to what the food establishment can include within their plan (this is not an exhaustive list).

This item is marked OUT of compliance if the establishment does not demonstrate the ability to provide procedures for employees to follow when responding to vomiting or diarrheal events that involve the discharge of vomitus or fecal matter onto surfaces in the food establishment.

N.A. Do Not Mark this item N.A.

N.O. Do Not Mark this item N.O.

Applicable Code Section:

2-501.11 Clean-up of Vomiting and Diarrheal Events ^(Pf)

Good Hygienic Practices

6. Proper eating, tasting, drinking, or tobacco use

IN/OUT This item should be marked IN or OUT of compliance based on direct observations or discussions of the appropriate hygienic practices of food employees. This item should be marked IN compliance when a food employee is observed drinking from a closed beverage container subsequently stored on a non-food-contact surface and separate from exposed food, clean equipment, and unwrapped single-service and single-use articles. This item should be marked OUT of compliance when food employees are observed improperly tasting food, eating, drinking, or smoking, or there is supporting evidence of these activities taking place in non-designated areas of the establishment. An open container of liquid in the kitchen preparation area does not necessarily constitute marking this item OUT. Further discussion with a food employee or the PIC may be needed to determine if the liquid, if labeled, is used as an ingredient in food, or may be an employee beverage that is consumed in another designated area. If the liquid is an open beverage that is consumed in a designated area, it must still be stored in a manner to prevent the contamination of food, equipment, utensils, linens and single-service/single-use articles.

N.A. **Do Not Mark** this item N.A.

N.O. This item may be marked N.O. for retail operations only in the **RARE** case when there are no food workers present at the time of inspection.

Applicable Code Sections:

2-401.11 Eating, Drinking, or Using Tobacco ^(C)
3-301.12 Preventing Contamination When Tasting ^(P)

7. No discharge from eyes, nose, and mouth

IN/OUT This item should be marked IN or OUT of compliance based on direct observations of food employees. This item should be marked IN compliance when no food employees are observed having persistent sneezing, coughing, or a runny nose that causes discharge from the eyes, nose or mouth. This item should be marked OUT of compliance when a food employee has persistent sneezing, coughing, or a runny nose that causes discharges from the eyes, nose or mouth, subjecting food and food-contact surfaces to potential contamination.

N.A. **Do Not Mark** this item N.A.

N.O. This item may be marked N.O. for retail operations only in the **RARE** case when there are no food workers present at the time of inspection.

Applicable Code Sections:

2-401.12 Discharges from the Eyes, Nose, and Mouth ^(C)

Control of Hands as a Vehicle of Contamination

8. Hands clean and properly washed

IN/OUT This item should be marked IN or OUT of compliance. This item is marked IN compliance only when employees are observed using proper handwashing techniques at appropriate times and places. Hands are not required to be washed between each change of gloves, if it is observed that there was no change in the task being performed and no activities which could potentially result in cross contamination.

N.A. **Do Not Mark** this item N.A.

- N.O.** This item may be marked N.O. for retail operations only in the **RARE** case when there are no food workers present at the time of inspection. (If there are no food workers present, but the PIC accompanies the inspector on the inspection and touches food, clean equipment, or utensils without washing his/her hands, this item is marked OUT.)

Applicable Code Sections:

- 2-301.11 Clean condition-Hands and Arms ^(P)
2-301.12 Cleaning Procedure ^(P)
2-301.14 When to Wash ^(P)
2-301.15 Where to Wash ^(Pf)
2-301.16 Hand Antiseptics ^(Pf)

9. No bare hand contact with RTE foods or a pre-approved alternate properly followed

IN/OUT This item should be marked IN or OUT of compliance. This item is marked IN compliance only when food employees are observed using suitable utensils or gloves to prevent bare hand (or arm) contact with ready-to-eat foods or if the food employee contacts exposed RTE food with bare hands at the time the RTE food is being added as an ingredient to a food that:

- Contains a raw animal food and is to be cooked in the food establishment to heat all parts of the food to minimum temperatures specified in ¶3-401.11(A)-(B) or §3-401.12; or
- Does not contain a raw animal food but is to be cooked in the food establishment to heat all parts of the food to a temperature of at least 63°C (145°F).

This item is also marked IN compliance when food employees are observed properly following a pre-approved alternative procedure to no bare hand contact.

This item should be marked OUT of compliance if one food employee is observed ready-to-eat food with their bare hands in the absence of a prior approval and written procedures for bare hand contact. Refer to subparagraph 3-301.11 (E)(1)-(7) for a listing of conditions that must be met in order to receive prior approval by the Regulatory Authority. Bare hand contact by food employees serving a Highly Susceptible Population is prohibited and no alternative to bare hand contact is allowed. This item is also marked OUT when food employees contact exposed RTE food with bare hands that is to be added as ingredients to a food that is not properly heat treated as specified in Sub-¶3-301.11(D)(1)-(2).

N.A. This item may be marked N.A. for establishments that provide only packaged, or bulk food items that are not ready-to-eat.

N.O. This item may be marked N.O. for establishments that prepare ready-to-eat foods only, but no food preparation is performed at the time of inspection.

Applicable Code Sections:

- 3-301.11 Preventing Contamination from Hands ^(P, Pf, C)
3-301.11(D) Pasteurized Foods, Prohibited Re-Service, and Prohibited Foods ^(P)

10. Adequate handwashing sinks, properly supplied and accessible

IN/OUT This item must be marked IN or OUT of compliance based on observations in determining that handwashing sinks are properly equipped and conveniently located for employee use in food preparation, food dispensing and warewashing areas as well as in or immediately adjacent to toilet rooms. This item must be marked OUT of compliance when the facility is not stocked with soap, hand drying provisions or equipped with the required signage. In addition, if the handwashing sink is not located to be available to employees who are working in a food preparation area, food dispensing and warewashing areas and is blocked by portable equipment or stacked full of soiled utensils or other items, or the facility is unavailable for regular employee use, this item must be marked OUT of compliance.

N.A. **Do Not Mark** this item N.A.

N.O. **Do Not Mark** this item N.O.

Applicable Code Sections:

- 5-202.12 Handwashing Sinks, Installation ^{((Pf, C)}
5-203.11 Handwashing Sinks-Numbers and Capacities ^(Pf)

5-204.11	Handwashing Sinks-Location and Placement ^(Pf)
5-205.11	Using a Handwashing Sink-Operation and Maintenance ^(Pf)
6-301.11	Handwashing Cleanser, Availability ^(Pf)
6-301.12	Hand Drying Provision ^(Pf)
6-301.13	Handwashing Aids and Devices, Use Restrictions ^(C)
6-301.14	Handwashing Signage ^(C)

Approved Source

11. Food obtained from approved source

IN/OUT This item should be marked IN or OUT of compliance based on direct observations of food products, food labels and packaging, water analyses, and discussion with the PIC or other food employees. This item should be marked IN compliance when the regulatory authority is able to determine approved food sources. A review of supplier names, shipment invoices, buyer specification plans, molluscan shellfish tags, proof of regulatory permit/licensure of a food source, etc. can be used to document approved food sources. Wild harvested mushrooms if sold or served have been approved by the regulatory authority. Milk and milk products must comply with Grade A Standards. This item should be marked OUT of compliance when an approved food source cannot be determined and if the regulatory authority did not approve the sale or service of wild harvested mushrooms and it is observed in the food establishment for sale and service.

N.A. **Do Not Mark** this item N.A.

N.O. **Do Not Mark** this item N.O.

Applicable Code Sections:

3-201.11	Compliance with Food Law ^(P, Pf)
3-201.12	Food in a Hermetically Sealed Container ^(P)
3-201.13	Fluid Milk and Milk Products ^(P)
3-201.14	Fish ^(P)
3-201.15	Molluscan Shellfish ^(P)
3-201.16	Wild Mushrooms ^(P)
3-201.17	Game Animals ^(P, C)
3-202.13	Eggs ^(P)
3-202.14	Eggs and Milk Products, Pasteurized ^(P)
3-202.110	Juice Treated-Commercially Processed ^(P, Pf)
5-101.13	Bottled Drinking Water ^(P)

12. Food received at proper temperature

IN/OUT This item should be marked IN or OUT of compliance based on actual food temperature measurements of TCS foods being received. This item should be marked IN compliance when food is received and found at proper temperatures during the inspection (i.e. catered meal for child care center arrives during the inspection and the regulatory authority verifies receiving temperature). This item should be marked OUT of compliance if food is received and accepted, but an actual food temperature measurement of a TCS food by the regulatory authority at the time of delivery exceeds the temperature specifications for receiving as prescribed by the Code.

N.A. This item may be marked N.A. for retail operations when the establishment receives only foods that are not TCS food and that are not frozen.

N.O. This item may be marked N.O. if food is not received during the inspection.

Applicable Code Sections:

3-202.11	Temperature ^(P, Pf)
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13. Food in good condition, safe and unadulterated

IN/OUT This item must be marked IN or OUT of compliance based on direct observations of the integrity of product packaging, wholesomeness, and signs of adulteration. This item must be marked IN compliance when a dent in a canned food has not compromised the hermetic seal; cuts made in outer cardboard packaging during opening of the case do not enter the inner product packaging; the true appearance, color, or quality of a food is not misrepresented; and food is honestly presented. This item must be marked OUT of compliance when the integrity of food packaging has been compromised or the true appearance, color, or quality of a food has been intentionally altered.

N.A. Do Not Mark this item N.A.

N.O. Do Not Mark this item N.O.

Applicable Code Sections:

3-101.11 Safe, Unadulterated and Honestly Presented ^(P)

3-202.15 Package Integrity ^(Pf)

14. Required records available: shellstock tags, parasite destruction

IN/OUT This item should be marked IN or OUT of compliance based on direct observations of fish in storage, shellstock tags, and/or records of freezing of fish for parasite destruction. This item should be marked IN compliance if the permit holder provides a statement from supplier(s) identifying that fish sold as raw, raw-marinated or undercooked is frozen by supplier for parasite destruction; or there are freeze records maintained by the permit holder when fish are frozen for parasite destruction on the premises. This item should be marked OUT of compliance if there are no shellstock tags available, when the shellstock tags are incomplete, when there is evidence of commingling of shellstock, or when no records of freezing of fish for parasite destruction are available. Fish exempt from freezing requirements are found in paragraph 3-402.11(B).

N.A. This item may be marked N.A. when shellstock are not used in the establishment and the only fish sold as raw, raw-marinated or undercooked is the tuna species or aquacultured fish listed as exempted from freezing in the Food Code.

N.O. This item may be marked N.O. when shellstock or raw, raw-marinated and undercooked fish are sold periodically in the establishment, but are not being sold at the time of inspection and prior compliance through tags, invoices, or purchase records cannot be verified.

Applicable Code Sections:

3-202.18 Shellstock Identification ^(Pf, C)

3-203.12 Shellstock, Maintaining Identification ^(Pf)

3-402.11 Parasite Destruction ^(P, C)

3-402.12 Records, Creation, & Retention ^(Pf)

Protection from Contamination

15. Food separated and protected

- IN/OUT** This item should be marked IN or OUT of compliance based on direct observations of food storage and food handling practices. This item should be marked OUT of compliance when ready-to-eat foods are subject to potential contamination by raw animal foods; raw animal foods are observed not separated by type based on minimum cook temperatures by spacing or placing in separate containers; unpackaged comminuted or otherwise non intact meats are stored above unpackaged whole muscle intact cuts of meat; food is not packaged or covered during storage (unless in the process of cooling); or food is in contact with soiled equipment and utensils; or single-use gloves used for more than one task.
- N.A.** This item may be marked N.A. when there are no raw animal foods used in the facility and only prepackaged foods are sold.
- N.O.** This item is marked N.O. when raw animal foods are used or served seasonally and you are unable to determine compliance.

Applicable Code Sections:

- 3-302.11 Packaged and Unpackaged Food-Separation, Packaging, and Segregation ^(P, C)
- 3-304.11 Food Contact with Equipment, Utensils, and Linens ^(P)
- 3-304.15(A) Gloves, Use Limitation ^(P)
- 3-306.13(A) Consumer Self-Service Operations ^(P)

16. Food-contact surfaces: cleaned and sanitized

- IN/OUT** This item must be marked IN or OUT of compliance based on direct observations of food-contact surfaces of equipment and utensils; actual measurements/readings of chemical sanitizer concentration, hot water sanitizing temperature, pH, hardness, water pressure, etc. using test strips, heat-sensitive tapes, and equipment gauges; observations of cleaning and sanitizing procedures; and discussion of cleaning and sanitizing procedures and frequency with the PIC or other food employees. This item must be marked IN compliance when manual and/or mechanical methods of cleaning and sanitizing are effective, and performed at the prescribed frequency. There should be an overall assessment of the food-contact surfaces of equipment and utensils in clean storage and in use to determine compliance. For example, this item is not marked OUT of compliance based on one visibly soiled utensil, such as a plate or knife. This item must be marked OUT of compliance when manual and/or mechanical methods of cleaning and sanitizing food-contact surfaces of equipment and utensils are ineffective, or if one multiuse piece of equipment such as a slicer or can opener is visibly soiled and being used at the time of the inspection. This item is also marked OUT if it is observed that equipment or utensils that have come into contact with a major food allergen such as fish was not cleaned and sanitized prior to use for other types of raw animal foods.
- N.A.** This item may be marked N.A. only when there is no requirement to clean equipment and utensils such as when only prepackaged foods are sold.
- N.O.** **Do Not Mark** this item N.O.

Applicable Code Sections:

- 4-501.111 Manual Warewashing Equipment, Hot Water Sanitization Temperatures ^(P)
- 4-501.112 Mechanical Warewashing Equipment, Hot Water Sanitization Temperatures ^(Pf)
- 4-501.113 Mechanical Warewashing Equipment, Sanitization Pressure ^(C)
- 4-501.114 Manual and Mechanical Warewashing Equipment, Chemical Sanitization-Temperature, pH, Concentration and Hardness ^(P, Pf)
- 4-501.115 Manual Warewashing Equipment, Chemical Sanitization Using Detergent-Sanitizers ^(C)
- 4-601.11(A) Equipment, Food-Contact Surfaces, Nonfood-Contact Surfaces, and Utensils ^(Pf)
- 4-602.11 Equipment Food-Contact Surfaces and Utensils-Frequency ^(P, C)
- 4-602.12 Cooking and Baking Equipment ^(C)

- 4-702.11 Before Use After Cleaning ^(P)
4-703.11 Hot Water and Chemical-Methods ^(P)

17. Proper disposition of returned, previously served, reconditioned, and unsafe food

IN/OUT This item must be marked IN or OUT of compliance. This item is marked OUT of compliance if food is found unsafe, adulterated, not honestly presented, from an unapproved source, or if ready-to-eat food is contaminated by employees and is not discarded or reconditioned according to an approved procedure, or if previously served unwrapped, unprotected food is observed being re-served.

N.A. Do Not Mark this item N.A.

N.O. Do Not Mark this item N.O.

Applicable Code Sections:

- 3-306.14 Returned Food and Re-service of Food ^(P)
3-701.11 Discarding or Reconditioning Unsafe, Adulterated, or Contaminated Food ^(P)

Time Temperature Control for Safety Food (TCS Food)

18. Proper cooking time and temperatures

NOTE: *The cooking temperatures of foods must be measured to determine compliance or noncompliance. Do not rely upon discussions with managers or cooks to make a determination of compliance or noncompliance. The temperature of raw animal foods in each species cooked during the inspection should be taken. For instance, if the facility fries chicken, scrambles eggs, bakes fish, grills hamburgers, and slow-roasts prime rib during the inspection – the cook temperatures of all of the products should be measured and recorded. Temperatures, both IN compliance and OUT of compliance, should be recorded in the “Temperature Observations” section of the inspection report. If there is insufficient space for the number of temperatures taken, additional temperatures should be documented in the “Observations and Corrective Actions” section on the second page of the inspection report. The time of inspections should be varied so that cooking can be observed.*

IN/OUT This item should be marked IN or OUT of compliance. This item should be marked OUT of compliance if the items checked do not meet the temperature requirements for cooking and the employee doing the cooking attempts to serve the product without returning the product to the cooking process. If a food is cooked below the required temperature but the facility has an approved Consumer Advisory or an approved variance with HACCP plan for that food item, mark the item IN compliance, record the temperature and document the reason it is IN compliance. Foods cooked with a non-continuous cooking process are marked OUT of compliance if the food item does not meet the time/temperature requirements for cooking as specified in 3-401.11(A)-(C) and if written procedures describing how the foods are prepared and stored after initial heating but prior to cooking for sale or service are not available for review.

N.A. This item may be marked N.A. when no raw animal foods are cooked in the establishment.

N.O. This item may be marked N.O. when you are unable to determine the cooking temperature of any food. The inspection should be arranged at an optimum time for measuring at least one cooked item.

Internal Cooking Temperature Specifications for Raw Animal Foods

Internal Cooking Temperature	Raw Animal Foods
145°F for 15 seconds	<ul style="list-style-type: none"> • Raw eggs cooked for immediate service • Fish, except as listed below • Meat, except as listed in the next 2 rows • Commercially raised game animals, rabbits
155°F for 15 seconds:	<ul style="list-style-type: none"> • Ratites (Ostrich, Rhea and Emu) • Injected meats • Mechanically tenderized meats • Raw eggs not for immediate service • Comminuted meat, fish, or commercially raised game animals
165°F for 15 seconds:	<ul style="list-style-type: none"> • Wild game animals • Poultry • Stuffed fish, meat, pork, pasta, ratites & poultry • Stuffing containing fish, meat, ratites & poultry

* **Whole Meat Roasts:** Refer to cooking charts in the *Food Code* ¶ 3-401.11(B)

Applicable Code Sections:

- 3-401.11 Raw Animal Foods-Cooking ^(P, Pf)
 3-401.12 Microwave Cooking ^(C)
 3-401.14 Non-Continuous Cooking of Raw Animal Foods ^(P, Pf)

19. Proper reheating procedures for hot holding

NOTE: The reheating temperatures of foods must be taken to determine compliance or noncompliance. Do not rely solely upon discussions with managers or cooks to determine compliance or noncompliance. Temperatures IN and OUT of compliance should be recorded in the “Temperature Observations” section of the inspection report. If there is insufficient space for the number of temperatures taken, additional temperatures should be documented in the “Observations and Corrective Actions” section of the inspection report.

IN/OUT This item should be marked IN or OUT of compliance based on actual temperature measurements of foods upon completion of the reheating process and prior to being placed in hot holding using a calibrated food temperature measuring device. This item should be marked OUT of compliance if the items checked are not reheated to the required temperatures or within 2 hours prior to hot holding.

N.A. This item may be marked N.A. when foods are not held over for a second service and/or reheating for hot holding is not performed in the establishment.

N.O. This item may be marked N.O. such as when foods are held over for a second service, but no foods are reheated during the time of inspection.

Applicable Code Sections:

- 3-403.11 Reheating for Hot Holding ^(P)

20. Proper cooling time and temperatures

NOTE: The requirement for cooling cooked TCS food, is that the food must be cooled from 135°F to 41°F or less in 6 hrs provided that the food is cooled from 135°F to 70°F within the first 2 hours. For example, if a facility cools chili from 135°F to 70°F in 1.5 hours; they then have 4.5 hours to get it from 70°F to 41°F or less. There are two critical limits that must be met with cooling. Discussions with the person in charge along with observations should be used to determine compliance. For instance, during discussion the person in charge says that a food product was cooled overnight in the walk-in cooler. The product is checked and the temperature is 50°F. Eight hours have elapsed from closing to opening. This item should be marked OUT because the product did not cool from 135°F to 70°F within two hours and from 135°F to 41°F or less within a total of 6 hours. Temperatures IN compliance and OUT of compliance should be recorded in the “Temperature Observations” section of the inspection report. If there is insufficient space for the number of temperatures taken, additional temperatures should be documented in the “Observations and Corrective Actions” section of the inspection report. Because the entire cooling process is difficult to observe during an inspection, at the onset of the inspection a determination of whether foods are currently being cooled should be made. If cooling is taking place, temperatures should be taken to make a determination of whether proper cooling is possible with procedures being used.

IN/OUT This item should be marked IN or OUT of compliance based on actual temperatures of TCS foods in the cooling process. The basis for determining IN or OUT of compliance can also be supported through discussion and/or record review which would provide the inspector reliable data of the “start time” for cooling from 135°F. See above NOTE for an example of using actual temperature and discussion with the PIC in determining OUT of compliance without actually being at the establishment during the entire cooling of TCS process, from start to finish.

N.A. This item may be marked N.A. when the establishment does not receive raw eggs, shellstock, or milk, prepares no TCS food from ambient temperature ingredients that require cooling, and does not cool cooked TCS food.

N.O. This item may be marked N.O. when the establishment does cool TCS food, but proper cooling per the prescribed temperature and time parameters cannot be determined during the length of the inspection.

Applicable Code Sections:

3-501.14 Cooling ^(P)

21. Proper hot holding temperatures

NOTE: Temperatures IN compliance and OUT of compliance should be recorded in the “Temperature Observations” section of the inspection report. If there is insufficient space for the number of temperatures taken, additional temperatures should be documented in the “Observations and Corrective Action” section of the inspection report.

IN/OUT This item should be marked IN or OUT of compliance based on actual food temperature measurements using a calibrated food temperature measuring device. This item should be marked IN compliance when the regulatory authority determines that, of the TCS food temperature measurements taken during the inspection, no hot holding temperatures are less than prescribed by the Code. This item is marked OUT of compliance if one TCS food is found out of temperature, unless Time as a Public Health Control (TPHC) is used for that TCS food.

N.A This item may be marked N.A. when the establishment does not hot hold food.

N.O. This item may be marked N.O. when the establishment does hot hold foods, but no foods are being held hot during the time of inspection. Inspections should be conducted during a time when hot holding temperatures can be taken.

Applicable Code Sections:

3-501.16(A)(1) Time/Temperature Control for Safety Food, Hot and Cold Holding ^(P)

22. Proper cold holding temperatures

NOTE: Temperatures IN compliance and OUT of compliance should be recorded in the “Temperature Observations” section of the inspection report. If there is insufficient space for the number of temperatures taken, additional temperatures should be documented in the “Observations and Corrective Action” section of the inspection report.

IN/OUT This item should be marked IN or OUT of compliance based on actual food temperature measurements using a calibrated food temperature measuring device. Discussions should be made with the PIC to determine if a food is in the process of cooling, TPHC is used, or there is an approved method to render a food so that it is not TCS food. This item should be marked IN compliance when the regulatory authority determines that, of the temperature measurements taken during the inspection, no cold holding temperatures are greater than prescribed by the Code. This item should be marked OUT of compliance if one TCS food is found out of temperature, with supportive evidence, unless TPHC is used for that TCS food.

N.A. This item may be marked N.A. when the establishment does not cold hold food.

N.O. This item may be marked N.O. when the establishment does cold hold food, but no foods are being held cold during the time of inspection. Inspections should be conducted during a time when hot holding temperatures can be taken.

Applicable Code Sections:

3-501.16(A)(2) and (B) Time/Temperature Control for Safety Food, Hot and Cold Holding ^(P)

23. Proper date marking and disposition

IN/OUT This item should be marked IN or OUT of compliance. This item would be IN compliance when there is a system in place for date marking all foods that are required to be date marked and is verified through observation. If date marking applies to the establishment, the PIC should be asked to describe the methods used to identify product shelf-life or “consume-by” dating. The regulatory authority must be aware of food products that are listed as exempt from date marking. For disposition, mark IN when foods are all within date marked time limits or food is observed being discarded within date marked time limits or OUT of compliance, such as when date marked food exceeds the time limit or date-marking is not done.

N.A. This item may be marked N.A. when there is no ready-to-eat, TCS food prepared on-premise and held, or commercial containers of ready-to-eat, TCS food opened and held, over 24 hours in the establishment.

N.O. This item may be marked N.O. when the establishment does handle foods requiring date marking, but there are no foods requiring date marking in the facility at the time of inspection.

Applicable Code Sections:

3-501.17 Ready-To-Eat Time/Temperature Control for Safety Food, Date Marking ^(Pf)

3-501.18 Ready-To-Eat Time/Temperature Control for Safety Food, Disposition ^(P)

24. Time as a Public Health Control: procedures and records

IN/OUT This item should be marked IN or OUT of compliance based on direct observations, record review, a discussion with the PIC, and the review of any standard operating procedures to determine if the intent of the Code for use of TPHC is met. This provision only applies if it is the actual intention or conscious decision by the PIC to store TCS food out of temperature control using TPHC; otherwise, it may be a cold or hot holding issue. This item should be marked IN compliance if there is a written procedure at the food establishment that identifies the types of food products that will be held using time only, describes the procedure for how TPHC will be implemented, and if applicable delineates how food items, previously cooked and

cooled before time is used, are properly cooled; and food items (marked or identified) do not exceed the 4-hour limit at any temperature or 6-hour limit at 70°F or less. This item should be marked OUT of compliance when the PIC implies the use of TPHC but does not have an effective mechanism for indicating the point in time when the food is removed from temperature control to the 4 or 6-hour discard time, or a written procedure or an effective mechanism for using TPHC is not present at the facility.

N.A. This item may be marked N.A. when the establishment does not use time only as the public health control.

N.O. This item may be marked N.O. when the establishment uses time only as the public health control, but is not using this practice at the time of inspection.

Applicable Code Sections:

3-501.19 Time as a Public Health Control ^(P, Pf, C)

Consumer Advisory

25. Consumer advisory provided for raw or undercooked food

IN/OUT This item should be marked IN or OUT of compliance based on a thorough review with the PIC of the posted, written and special/daily menus, to determine if untreated shell eggs, meats, fish, or poultry are used as an ingredient or ordered as a raw, raw-marinated, partially cooked, or undercooked food. The advisory also applies to shellstock offered for sale from a retail service case. This item should be marked IN compliance if the establishment provides an advisory that meets the intent of the Food Code for both the disclosure and reminder components. This item should be marked OUT of compliance when raw or undercooked foods are served or sold and there is no consumer advisory, the food item is not **disclosed**, or there is no **reminder** statement. The consumer advisory does not exempt the requirement for freezing for parasite control, nor should it be used for foods that have only gone through the initial heating and cooling stages of a non-continuous cooking process.

N.A. This item may be marked N.A. when a food establishment does not serve a ready-to-eat food that necessitates an advisory, i.e., an animal food that is raw, undercooked, or not otherwise processed to eliminate pathogens.

N.O. **Do Not Mark** this item N.O.

Applicable Code Sections:

3-603.11 Consumption of Animal Foods that are Raw, Undercooked, or Not Otherwise Processed to Eliminate Pathogens ^(Pf)

Highly Susceptible Population

26 Pasteurized foods used; prohibited foods not offered

NOTE: Discussions with the PIC and employees regarding whether or not certain foods are served or certain practices occur in the establishment, along with observations should be used to determine compliance.

IN/OUT This item should be marked IN or OUT of compliance based on direct observations and discussions with the PIC and food employees regarding whether or not certain foods are served or certain practices occur in an establishment serving a highly susceptible population. Violations of bare hand contact by food employees serving a highly susceptible population ¶ 3-801.11(D) is marked under Item #7. This item should be marked IN compliance if only treated/pasteurized juices/juice beverages are served; only pasteurized eggs are used in recipes if eggs are undercooked and if eggs are combined, unless there is a cook step or HACCP plan to control *Salmonella* enteritidis; no raw or partially cooked animal foods or raw

seed sprouts are served; and no unopened packaged food is re-served following service to patients in medical isolation or quarantine.

N.A. This item may be marked N.A. if a highly susceptible population is not served.

N.O. **Do Not Mark** this item N.O.

Applicable Code Sections:

3-801.11(A), (B), (C), (E) and (G) Pasteurized Foods, Prohibited Re-Service, and Prohibited Food ^(P, C)

Food/Color Additives and Toxic Substances

27. Food additives: approved and properly used

IN/OUT This item should be marked IN or OUT of compliance based on direct observations of food ingredients in storage and listed as product ingredients supplemented by discussion with the PIC. This item is marked IN compliance if approved food and color additives are on site and used properly or if sulfites are on the premises, and they are not applied to fresh fruits/vegetables for raw consumption. Approved food additives are listed and have threshold limits in accordance with the CFRs, and does not apply to food additives that are considered Generally Recognized as Safe (GRAS), such as salt, pepper, etc. This item is marked OUT of compliance if unapproved additives are found on the premises or approved additives are improperly used, such as sulfites being applied to fresh fruits or vegetables.

N.A. This item may be marked N.A. if the food establishment does **not** use any additives or sulfites on the premises.

N.O. **Do Not Mark** this item N.O.

Applicable Code Sections:

3-202.12 Additives ^(P)

3-302.14 Protection from Unapproved Additives ^(P)

28. Toxic substances properly identified, stored, and used; held for retail sale, properly Stored

IN/OUT This item should be marked IN or OUT of compliance based on direct observations of food labeling, storage, reconstitution, and application of bulk and working containers of cleaning agents and sanitizers, personal care items, first aid supplies, medicines, pesticides, and potential toxic and poisonous substances. This item should be marked IN compliance when bulk and working containers of cleaning agents and sanitizers are labeled; sanitizing solutions are not exceeding the maximum concentrations; personal care items, first aid supplies, medicines, and chemicals are stored separate from and not above food, equipment, utensils, linens, and single-service and single-use articles; and restricted use pesticides are applied only by or under the supervision of a certified applicator. This item should be marked OUT of compliance if a cleaning agent or sanitizer is not properly identified and stored; if a sanitizing solution has a higher concentration than prescribed and medicines and first aid kits are improperly labeled and stored. Violations of solutions exceeding the recommended concentration in chemical washes for fruits and vegetables (§7-204.12) would be marked under Item #42.

N.A. This item may be marked N.A. if the establishment does not hold poisonous or toxic materials for retail sale.

N.O. **Do Not Mark** this item N.O.

Applicable Code Sections:

7-101.11 Identifying Information, Prominence-Original Containers ^(Pf)

7-102.11 Common Name-Working Containers ^(Pf)

7-201.11 Separation-Storage ^(P)

7-202.11 Restriction-Presence and Use ^(Pf)

7-202.12	Conditions of Use ^(P, Pf, C)
7-203.11	Poisonous or Toxic Material Containers-Container Prohibitions ^(P)
7-204.11	Sanitizers, Criteria-Chemicals ^(P)
7-204.12	Chemicals for Washing, Treatment, Storage and Processing Fruits and Vegetables, Criteria ^(P,)
7-204.13	Boiler Water Additives, Criteria ^(P)
7-204.14	Drying Agents, Criteria ^(P)
7-205.11	Incidental Food Contact, Criteria-Lubricants ^(P)
7-206.11	Restricted Use Pesticides, Criteria ^(P)
7-206.12	Rodent Bait Stations ^(P)
7-206.13	Tracking Powders, Pest Control and Monitoring ^(P, C)
7-207.11	Restriction and Storage-Medicines ^(P, Pf)
7-207.12	Refrigerated Medicines, Storage ^(P)
7-208.11	Storage-First Aid Supplies ^(P, Pf)
7-209.11	Storage-Other Personal Care Items ^(C)
7-301.11	Separation-Storage and Display, Stock and Retail Sale ^(P)

Conformance with Approved Procedures

29. Compliance with variance, specialized process, reduced oxygen packaging criteria or HACCP plan

NOTE Except for fish a HACCP plan is not required when a TCS food is packaged using a reduced oxygen packaging method and is labeled with production time and date, held at required cold holding temperature, and removed from ROP packaging within 48 hours after packaging at the food establishment.

IN/OUT This item should be marked IN or OUT of compliance based on direct observations of food preparation and storage, a discussion with the PIC to determine if there are specialized food processes [i.e. smoking food, curing food, reduced oxygen packaging, using food additives to render a food so that it is not TCS food, cook chill, sous vide, etc.] and the record review of standard operating procedures and HACCP documentation. This item should be marked IN compliance when observations of food operations and review of available records indicate compliance is being met with regards to specialized food processes and HACCP plans were submitted to the regulatory authority prior to conducting a ROP operation that conforms to procedures within §3-502.12. This item should be marked OUT of compliance if the inspection reveals specialized food processes that are not approved by the regulatory authority are performed or not conducted in accordance with the approved variance or a HACCP plan was not submitted to the regulatory authority prior to engaging in a ROP operation without a variance.

N.A. This item may be marked N.A. if the establishment is not required by the regulatory authority to have a variance or HACCP plan, juice is not packaged or reduced oxygen packaging is not done on the premises.

N.O. **Do Not Mark** this item N.O.

Applicable Code Sections:

3-404.11	Treating Juice ^(P, Pf)
3-502.11	Variance Requirement ^(Pf)
3-502.12	Reduced Oxygen Packaging, Criteria ^(P, Pf)
4-204.110(B)	Molluscan Shellfish Tanks ^(Pf)
8-103.12	Conformance with Approved Procedures ^(P, Pf)
8-201.13	When a HACCP Plan is Required ^(C)
8-201.14	Contents of a HACCP Plan ^(Pf)

Good Retail Practices (GRPs)

D. MARKING INSTRUCTIONS FOR EACH GOOD RETAIL PRACTICE (GRP) ON THE INSPECTION REPORT

Good Retail Practices (GRPs) are systems to control basic operational and sanitation conditions within a facility, and if not controlled, they could be contributing factors to foodborne illness by introducing hazards (biological, chemical and physical), into the end product, either directly or indirectly. For example, equipment in disrepair, such as a cutting board with deep grooves/cuts, makes effective cleaning difficult or impossible, and thereby could introduce a bacterial hazard onto food that comes into contact with the board. In addition, in assessing GRPs, it is important to make an overall assessment of the conditions by looking for trends versus an isolated incident; and the potential public health impact. For example, a few missing floor tiles in a dry area may not rise to the level of a “violation”; however, missing floor tiles in an area where equipment is subject to in-place manual cleaning without the use of an enclosed clean in place (CIP) system, i.e., using pressure hoses over band saws, slicers, or mixers, could create conditions whereby a bacterial hazard could be introduced on to the food equipment. These items usually require judgment, and if uncorrected, the regulatory authority must decide whether or not these conditions would lead to potential contamination.

GRPs are the methods used in, or the facilities or controls used for, the receiving, preparation, storage, serving, packaging or holding of food which are designed to assure unsanitary conditions do not lead to the introduction of hazards or unintentional substances into the end product. The intention of this inspection form is to focus the inspector’s attention on those factors that have been shown to be most often linked with causing foodborne illness. Since the major emphasis of an inspection should be on the Risk Factors that cause foodborne illness and the Public Health interventions that have the greatest impact on preventing foodborne illness, the GRPs have been given less importance on the inspection form and a differentiation between IN, OUT, N.A. and N.O. is not made in this area, with a few exceptions noted below. For marking the GRPs section, place an “X” in the box to the left of the numbered item if a code provision under that item is **OUT** of compliance. Document each violation of the code provision for the item number in the “Observations and Corrective Actions” section on the second page of the inspection report. For items marked **OUT** of compliance, further indicate the **VIOLATION STATUS** by marking an “X” in the corresponding box: **COS** = Corrected on site during inspection and **R** = Repeat violation per the same instructions as given in the Risk Factor section. References to the appropriate Food Code provisions that can be debited under each numbered GRP item are listed in Guide 3-B.

Note: Items 30, 32, and 33 will allow for either three or four marking options. Item 30 allows for IN OUT or N.A., and items 32 and 33 allow for IN, OUT, N.A. or N.O. For marking in the GRP Section place an “A” in the box to the left of the numbered item if the code provision under that item is **not applicable** or and “O” for **not observed**.

E. TEMPERATURE OBSERVATIONS

Item/location	Record the common name of the food as well as the condition, process, and location of the food at the time of monitoring e.g. hot holding, refrigerator, prep-table. Temperatures in compliance and out of compliance should be documented. If there is insufficient space for the number of temperatures taken, record the additional temperatures in the “Observations and Corrective Actions” section of the inspection report.
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Food

Temperature Record the temperature indicated on the inspector's thermometer. Specify the measurement in °F or °C. *(Note: Food temperature measuring devices that are scaled only in Fahrenheit should be accurate to $\pm 2^{\circ}\text{F}$ in the intended range of use. Food temperature measuring devices that are scaled only in Celsius or dually scaled in Celsius and Fahrenheit should be accurate to $\pm 1^{\circ}\text{C}$ in the intended range of use.)*

F. OBSERVATIONS AND CORRECTIVE ACTIONS

Include here specific descriptions of violations observed and recorded in the Risk Factors and Interventions section and Good Retail Practices check boxes. Also include corrective actions for the noted violations and temperatures if there is insufficient space in the allotted section for temperature recordings.

G. SIGNATURE BLOCK

Person in Charge The PIC is the individual present at a food establishment who is responsible for the operation at the time of the inspection.

Inspector The Inspector is the individual conducting the inspection.

Date The date the inspection is completed.

Follow-up The determination of whether to conduct a reinspection or other enforcement action.

Follow-up Date The date the follow-up inspection will be conducted.

Safe Food and Water

30. Pasteurized eggs used where required

Certain menu items use eggs as an ingredient in the preparation of RTE foods, such as Caesar salad, Hollandaise sauce, etc. This is verified by discussion with the PIC and food employees regarding the substitution of pasteurized egg products for raw eggs in uncooked foods, unless allowed under ¶ 3-401.11(D)(2).

Applicable Code Section:

3-302.13 Pasteurized Eggs Substituted for Raw Eggs for Certain Recipes ^(P)

31. Water and ice from approved source

There are two types of systems: Public Water System or Non-Public Water System. Regardless of its source, it must meet drinking water standards established by EPA and applicable state drinking water quality standards. If a non-public system is used as Drinking water, the water is sampled / tested at least yearly and records retained on file at the food establishment or per state regulations. Consideration must be given to the supply containers, piping, hoses, etc., connected to the APPROVED source when water is made available for mobile and/or temporary food establishment without a permanent supply.

Applicable Code Sections:

3-202.16 Ice ^(P)

5-101.11 Approved System-Source ^(P)

5-102.11 Standards-Quality ^(P)

5-102.12 Nondrinking Water ^(P)

5-102.13 Sampling ^(Pf)

5-102.14 Sample Report ^(C)

5-104.12 Alternative Water Supply ^(Pf)

32. Variance obtained for specialized processing methods

When a Food Establishment wants to deviate from a requirement in the code, utilizes Specialized Processing Methods as specified in § 3-502.11 such as Smoking Food for Preservation, curing food etc. a variance must first be obtained from the regulatory authority. A HACCP plan may also be required as listed in ¶ 8-201.13(A) as part of the variance request.

- N.A.** This item may be marked N.A. if the establishment is not engaged in a specialized processing method, other operation requiring a variance and a HACCP plan or a process or processing method determined by the regulatory authority to require a variance and a HACCP plan.

Applicable Code Section:

8-103.11 Documentation of Proposed Variance and Justification ^(Pf)

Food Temperature Control

33. Proper cooling methods used; adequate equipment for temperature control

A determination must first be made that cooling food is part of the processing step. To assess whether or not the methods used facilitate the cooling criteria specified under § 3-501.14, a discussion with the PIC should support actual observations used in cooling foods. There should be enough equipment with sufficient capacity used for the cooling, heating and hot/cold holding of foods requiring temperature control as specified in Chapter 3 to meet the demands of the operation. Observations must support the determination of compliance status. Frozen food is solid to the touch.

Applicable Code Sections:

3-501.11 Frozen Food ^(C)
3-501.15 Cooling Methods ^(Pf, C)
4-301.11 Cooling, Heating, and Holding Capacities-Equipment ^(Pf)

34. Plant food properly cooked for hot holding

In determining compliance, observation along with an actual cooking temperature must be obtained.

- N.A.** This item may be marked N.A. if vegetables and fruits are **not** cooked for hot holding in the establishment.
- N.O.** This item may be marked N.O. when plant foods are cooked for hot holding, but are not available for observation during the inspection.

Applicable Code Section:

3-401.13 Plant Food Cooking for Hot Holding ^(Pf)

35. Approved thawing methods used

Observing and then gaining an understanding of the establishment's thawing method(s) will help in determining whether a violation exists from the approved thawing methods found under § 3-501.13 as well as the level of risk imposed. Keep in mind that various food products especially those destined for deep-fat frying are often slacked (not thawed) prior to cooking.

Applicable Code Sections:

3-501.12 Time/Temperature Control for Safety Food, Slacking ^(C)
3-501.13 Thawing ^(C)

- N.A.** This item may be marked N.A. if TCS food are **not** thawed.
- N.O.** This item may be marked N.O. if this food is thawed, but thawing was not observed during the inspection.

36. Thermometers provided and accurate

Thermometers provide a means for assessing active managerial control of TCS food temperatures. Determine compliance by observing the in-use storage location and verifying the scaling of the temperature measuring devices in the range of use to measure food, water, or ambient air temperatures. Food thermometers must be calibrated at a frequency to ensure accuracy. Food thermometers should be accessible for use by employees and have a probe size appropriate to the food item.

Applicable Code Sections:

- 4-203.11 Temperature Measuring Devices, Food-Accuracy ^(Pf)
- 4-203.12 Temperature Measuring Devices, Ambient Air and Water-Accuracy ^(Pf)
- 4-204-112 Temperature Measuring Devices-Functionality ^(Pf, C)
- 4-302.12 Food Temperature Measuring Devices ^(Pf)
- 4-502.11(B) Good Repair and Calibration ^(Pf)

Food Identification

37. Food properly labeled; original container

Packaged foods are required to conform to specific labeling laws. Foods packaged within the food establishment must also conform to the appropriate labeling laws, with considerations given to accuracy as well as not being misleading. In addition, all major food allergens, if present, must be accurately declared on the package. Working containers and bulk foods removed from their original packaging require some level of assessment as to how recognizable the food is without labeling by its common name. Molluscan shellfish and vended TCS foods must specifically be assessed based on their specific packaging and labeling requirements.

Applicable Code Sections:

- 3-202.17 Shucked Shellfish, Packaging and Identification ^(Pf, C)
- 3-203.11 Molluscan Shellfish, Original Container ^(C)
- 3-302.12 Food Storage Containers Identified with Common Name of Food ^(C)
- 3-305.13 Vended Time/Temperature Control for Safety Food, Original Container ^(C)
- 3-601.11 Standards of Identity ^(C)
- 3-601.12 Honestly Presented ^(C)
- 3-602.11 Food Labels ^(Pf, C)
- 3-602.12 Other Forms of Information ^(C)

Prevention of Food Contamination

38. Insects, rodents and animals not Present

An assessment is made through observation and discussion with the PIC for measures taken to control the presence of pests in the food establishment, including elimination of entry points and harborage areas, and removal of pests and its evidence. Insect trapping devices must not be located over food preparation areas.

Applicable Code Sections:

- 2-403.11 Handling Prohibition-Animals ^(Pf)
- 6-202.13 Insect Control Devices, Design and Installation ^(C)
- 6-202.15 Outer Openings, Protected ^(C)
- 6-202.16 Exterior Walls and Roofs, Protective Barrier ^(C)
- 6-501.111 Controlling Pests ^(Pf, C)
- 6-501.112 Removing Dead or Trapped Birds, Insects, Rodents and other Pest ^(C)
- 6-501.115 Prohibiting Animals ^(Pf)

39. Contamination prevented during food preparation, storage and display

The observation and understanding of the flow of food items from the point of receipt to the point of sale, service or distribution is necessary to determine whether a violation exists. Food is subject to direct and indirect sources of contamination in the establishment. Sources may be related to the working environment, packaging, adequacy of storage facilities, and exposure of food on display to contamination (i.e. salad bars).

Applicable Code Sections:

3-202.19	Shellstock, Condition ^(C)
3-303.11	Ice Used as Exterior Coolant, Prohibited as Ingredient ^(P)
3-303.12	Storage or Display of Food in Contact with Water or Ice ^(C)
3-304.13	Linens and Napkins, Use Limitations ^(C)
3-305.11	Food Storage-Preventing Contamination from the Premises ^(C)
3-305.12	Food Storage, Prohibited Areas ^(C)
3-305.14	Food Preparation ^(C)
3-306.11	Food Display-Preventing Contamination by Consumers ^(P)
3-306.12	Condiments, Protection ^(C)
3-306.13(B) and (C)	Consumer Self-Service Operations ^(Pf)
3-307.11	Miscellaneous Sources of Contamination ^(C)
6-404.11	Segregation and Location-Distressed Merchandise ^(Pf)

40. Personal cleanliness

Observation of facility personnel for clean outer clothing, effective hair restraints, prohibited jewelry and the condition or protection of fingernails must be made.

Applicable Code Sections:

2-302.11	Maintenance-Fingernails ^(Pf)
2-303.11	Prohibition-Jewelry ^(C)
2-304.11	Clean Condition-Outer Clothing ^(C)
2-402.11	Effectiveness-Hair Restraints ^(C)

41. Wiping cloths; properly used and stored

Wiping cloths are to be used for a designated purpose and properly used. When stored in solution, the solutions should be reasonably clean and maintained at the proper sanitizer concentration (§4-501.114). Solutions exceeding the recommended sanitizer concentrations would be marked on the Inspection Form under item no.26, Toxic substances properly identified, stored, and used. Sponges, if present, are not to be used in contact with clean/sanitized food contact surfaces.

Applicable Code Sections:

3-304.14	Wiping Cloths, Use Limitation ^(C)
4-101.16	Sponges Use Limitation ^(C)
4-901.12	Wiping Cloths, Air Drying Location ^(C)

42. Washing fruits and vegetables

Raw fruits and vegetables are to be washed prior to their preparation or offered as RTE. Chemicals are allowed for washing fruits and vegetables, along with simply washing them in water. Chemicals that are used in the wash water for fruits and vegetables must be listed and approved with threshold limits in accordance with the CFR's. Refer to the label or labeling of the additive for adequate directions and to assure safe use. Discussion with the PIC and food employees will help determine the establishment's practice.

Applicable Code Sections:

3-302.15	Washing Fruits and Vegetables ^(Pf)
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7-204.12 Chemicals for Washing, Treatment, Storage and Processing Fruits and Vegetables, Criteria ^(P)

43. In-use utensils; properly stored

Based on the type of operation, there are a number of methods available for storage of in-use utensils during pauses in food preparation or dispensing, such as in the food, clean and protected, or under running water to prevent bacterial growth. If stored in a container of water, the water temperature must be at least 135°F. In-use utensils may not be stored in chemical sanitizer or ice between uses. Ice scoops may be stored handles up in an ice bin except for an ice machine.

Applicable Code Sections:

3-304.12 In-Use Utensils, Between-Use Storage ^(C)

44. Utensils, equipment and linens; properly stored, dried, handled

An assessment is made of the overall storage practices and handling of clean equipment and utensils, including tableware located in the various areas within an establishment, including the basement, wait station and dining room. Equipment must be air dried prior to storage, and linens must be properly cleaned and stored.

Applicable Code Sections:

4-801.11 Clean Linens ^(C)
4-802.11 Specifications-Laundering Frequency ^(C)
4-803.11 Storage of Soiled Linens ^(C)
4-803.12 Mechanical Washing ^(C)
4-901.11 Equipment and Utensils, Air-Drying Required ^(C)
4-903.11(A), (B) and (D) Equipment, Utensils, Linens and Single-Service and Single-Use Articles-Storing ^(C)
4-903.12 Prohibitions ^(C)
4-904.11 Kitchenware and Tableware-Preventing Contamination ^(C)
4-904.12 Soiled and Clean Tableware ^(C)
4-904.13 Preset Tableware ^(C)

45. Single-use/single-service articles; properly stored, used

These items are not designed to be cleaned and re-used; therefore, they must be properly stored and protected to prevent from possible contamination. Food establishments without facilities for cleaning and sanitizing kitchenware and tableware shall provide only single-use and single-service articles.

Applicable Code Sections:

4-502.12 Single-Service and Single-Use Articles, Required Use ^(P)
4-502.13 Single-Service and Single-Use Articles-Use Limitations ^(C)
4-502.14 Shells, Use Limitations ^(C)
4-903.11(A) and (C) Equipment, Utensils, Linens and Single-Service and Single-Use Articles-Storing ^(C)
4-903.12 Prohibitions ^(C)
4-904.11 Kitchenware and Tableware-Preventing Contamination ^(C)

46. Gloves used properly

The observation of food preparation activities and glove-use by food employees is necessary. There should be a discussion with the PIC on how gloves are used, if applicable, in food preparation activities. Gloves may serve as a source of cross-contamination if misused.

Applicable Code Sections:

3-304.15(B)-(D) Gloves, Use Limitations ^(C)

Utensils, Equipment and Vending**47. Food and non-food-contact surfaces cleanable, properly designed, constructed and used**

Equipment and utensils must be properly designed and constructed, and in good repair. Proper installation and location of equipment in the food establishment are important factors to consider for ease of cleaning in preventing accumulation of debris and attractants for insects and rodents. The components in a vending machine must be properly designed to facilitate cleaning and protect food products (e.g., equipped with automatic shutoff, etc.) from potential contamination. Equipment must be properly used and in proper adjustment, such as calibrated food thermometers.

Applicable Code Sections:

3-304.16	Using Clean Tableware for Second Portions and Refills ^(C)
3-304.17	Refilling Returnables ^(C)
4-101.11	Characteristics-Materials for Construction and Repair ^(P, C)
4-101.12	Cast Iron, Use Limitations ^(C)
4-101.13	Lead, Use Limitation ^(P, C)
4-101.14	Copper Use Limitation ^(P)
4-101.15	Galvanized Metal, Use Limitation ^(P)
4-101.17	Wood, Use Limitation ^(C)
4-101.18	Nonstick Coatings, Use Limitation ^(C)
4-101.19	Nonfood-Contact Surfaces ^(C)
4-102.11	Characteristics-Single-Service and Single-Use ^(P, C)
4-201.11	Equipment and Utensils-Durability and Strength ^(C)
4-201.12	Food Temperature Measuring Devices ^(P)
4-202.11	Food-Contact Surfaces-Cleanability ^(Pf)
4-202.12	CIP Equipment ^(Pf, C)
4-202.13	“V” Threads, Use Limitation ^(C)
4-202.14	Hot Oil Filtering Equipment ^(C)
4-202.15	Can Openers ^(C)
4-202.16	Nonfood-Contact Surfaces ^(C)
4-202.17	Kick Plates Removable ^(C)
4-204.12	Equipment Openings, Closures and Deflectors ^(C)
4-204.13	Dispensing Equipment, Protection of Equipment and Food ^(P, C)
4-204.14	Vending Machine Vending Stage Closure ^(C)
4-204.15	Bearings and Gear Boxes, Leakproof ^(C)
4-204.16	Beverage Tubing, Separation ^(C)
4-204.17	Ice Units, Separation of Drains ^(C)
4-204.18	Condenser Unit, Separation ^(C)
4-204.19	Can Openers on Vending Machines ^(C)
4-204.110(A)	Molluscan Shellfish Tanks ^(P)
4-204.111	Vending Machines, Automatic Shutoff ^(P)
4-204.120	Equipment Compartments, Drainage ^(C)
4-204.121	Vending Machines, Liquid Waste Products ^(C)
4-204.122	Case Lot Handling Apparatuses, Movability ^(C)
4-204.123	Vending Machine Doors and Openings ^(C)
4-302.11	Utensils, Consumer Self-Service ^(Pf)
4-401.11	Equipment, Clothes Washers, Dryers and Storage Cabinets, Contamination Prevention-Location ^(C)
4-402.11	Fixed Equipment, Spacing or Sealing-Installation ^(C)
4-402.12	Fixed Equipment, Elevation or Sealing ^(C)

- 4-501.11 Good Repair and Proper Adjustment-Equipment ^(C)
- 4-501.12 Cutting Surfaces ^(C)
- 4-501.13 Microwave Ovens ^(C)
- 4-502.11(A) and (C) Good Repair and Calibration-Utensils and Temperature and Pressure Measuring Devices ^(C)
- 4-603.11 Dry Cleaning-Methods ^(C)
- 4-902.11 Food-Contact Surfaces-Lubricating and Reassembling ^(C)
- 4-902.12 Equipment-Lubricating and Reassembling ^(C)

48. Warewashing facilities, installed, maintained, used, test strips

Adequate warewashing facilities must be available and used for the cleaning and sanitization of food-contact surfaces, including the availability of means to monitor its use and the effectiveness of sanitization. For example, an irreversible registering temperature indicator is provided and readily accessible for measuring the utensil surface temperature for establishment that have a hot water mechanical warewashing operation. Observation of manual and mechanical warewashing methods are made to **assess** the procedure for cleaning and sanitizing equipment and utensils.

Applicable Code Sections:

- 4-203.13 Pressure Measuring Devices, Mechanical Warewashing Equipment ^(C)
- 4-204.113 Warewashing Machine, Data Plate Operation Specifications ^(C)
- 4-204.114 Warewashing Machines, Internal Baffles ^(C)
- 4-204.115 Warewashing Machines, Temperature Measuring Devices ^(Pf)
- 4-204.116 Manual Warewashing Equipment, Heaters and Baskets ^(Pf)
- 4-204.117 Warewashing Machines, Automatic Dispensing of Detergents and Sanitizers ^(Pf)
- 4-204.118 Warewashing Machines, Flow Pressure Device ^(C)
- 4-204.119 Warewashing Sinks and Drainboards, Self-Draining ^(C)
- 4-301.12 Manual Warewashing, Sink Compartment Requirements ^(Pf, C)
- 4-301.13 Drainboards ^(C)
- 4-302.13 Temperature Measuring Devices, Manual and Mechanical Warewashing ^(Pf)
- 4-302.14 Sanitizing Solutions, Testing Devices ^(Pf)
- 4-501.14 Warewashing Equipment, Cleaning Frequency ^(C)
- 4-501.15 Warewashing Machines, Manufacturers' Operating Instructions ^(C)
- 4-501.16 Warewashing Sinks, Use Limitation ^(C)
- 4-501.17 Warewashing Equipment, Cleaning Agents ^(Pf)
- 4-501.18 Warewashing Equipment, Clean Solutions ^(C)
- 4-501.19 Manual Warewashing Equipment, Wash Solution Temperature ^(Pf)
- 4-501.110 Mechanical Warewashing Equipment, Wash Solution Temperature ^(Pf)
- 4-501.116 Warewashing Equipment, Determining Chemical Sanitizer Concentration ^(Pf)
- 4-603.12 Precleaning ^(C)
- 4-603.13 Loading of Soiled Items, Warewashing Machines ^(C)
- 4-603.14 Wet Cleaning ^(C)
- 4-603.15 Washing, Procedures for Alternative Manual Warewashing Equipment ^(C)
- 4-603.16 Rinsing Procedures ^(C)

49. Non-food-contact surfaces clean

Observations should be made to determine if the frequency of cleaning is adequate to prevent soil accumulations on non-food-contact surfaces.

Applicable Code Sections:

- 4-601.11(B) and (C) Equipment, Food-Contact Surfaces, Nonfood-Contact Surfaces, and Utensils ^(C)
- 4-602.13 Nonfood Contact Surfaces ^(C)

Physical Facilities

50. Hot and cold water available; adequate pressure

Regardless of the supply system, the distribution of water to the facility must be protected and operated according to law. Adequate pressure is to be maintained at all fixtures during peak demand including the capacity to provide hot water at peak hot water demand.

Applicable Code Sections:

- 5-103.11 Capacity-Quantity and Availability ^(Pf)
- 5-103.12 Pressure ^(Pf)
- 5-104.11 System-Distribution, Delivery, and Retention ^(Pf)

51. Plumbing installed; proper backflow devices

The observation of an approved plumbing system, installed and maintained, including the equipment and devices connected to the potable water supply, is necessary to determine whether a violation exists. An assessment of the layout of the establishment and the water distribution system is made to determine if there are any points at which the potable water supply is subject to contamination or is in disrepair.

Applicable Code Sections:

- 5-101.12 System Flushing and Disinfection ^(P)
- 5-201.11 Approved-Materials ^(P)
- 5-202.11 Approved System and Cleanable Fixtures ^(P, C)
- 5-202.13 Backflow Prevention, Air Gap ^(P)
- 5-202.14 Backflow Prevention Device, Design Standard ^(P)
- 5-202.15 Conditioning Device, Design ^(C)
- 5-203.13 Service Sink ^(C)
- 5-203.14 Backflow Prevention Device, When Required ^(P)
- 5-203.15 Backflow Prevention Device, Carbonator ^(C)
- 5-204.12 Backflow Prevention Device, Location ^(C)
- 5-204.13 Conditioning Device, Location ^(C)
- 5-205.12 Prohibiting a Cross Connection ^(P, Pf)
- 5-205.13 Scheduling Inspection and Service for a Water System Device ^(Pf)
- 5-205.14 Water Reservoir of Fogging Devices, Cleaning ^(P)
- 5-205.15 System Maintained in Good Repair ^(P, C)
- 5-301.11 Approved-Materials, Mobile Water Tank and Mobile Food Establishment Water Tank ^(P, C)
- 5-302.11 Enclosed System, Sloped to Drain ^(C)
- 5-302.12 Inspection and Cleaning Port, Protected and Secured ^(C)
- 5-302.13 "V" Type Threads, Use Limitation ^(C)
- 5-302.14 Tank Vent, Protected ^(C)
- 5-302.15 Inlet and Outlet, Sloped to Drain ^(C)
- 5-302.16 Hose, Construction and Identification ^(P, C)
- 5-303.11 Filter, Compressed Air ^(P)
- 5-303.12 Protective Cover or Device ^(C)
- 5-303.13 Mobile Food Establishment Tank Inlet ^(C)
- 5-304.11 System Flushing and Sanitization-Operation and Maintenance ^(P)
- 5-304.12 Using a Pump and Hoses, Backflow Prevention ^(C)
- 5-304.13 Protecting Inlet, Outlet and Hose Fitting ^(C)
- 5-304.14 Tank, Pump and Hoses, Dedication ^(P)

52. Sewage and waste water properly disposed

There are two types of systems: public sewage treatment plant and an individual sewage disposal system.

Observations of the facilities overall sewage and wastewater system is necessary to determine if a violation exists. Indications that a system is not functioning properly may include the presence of sewage

back-up into the establishment or outdoors on the ground. Condensate drippage and other non-sewage wastes must be drained to a system in accordance to LAW, and backflow prevention, if required, installed between the sewage system and drain of equipment holding food or utensils. Mobile wastewater holding tanks must also be assessed for capacity and maintenance.

Applicable Code Sections:

5-401.11	Capacity and Drainage ^(C)
5-402.11	Backflow Prevention ^(P)
5-402.12	Grease Trap ^(C)
5-402.13	Conveying Sewage ^(P)
5-402.14	Removing Mobile Food Establishment Wastes ^(Pf)
5-402.15	Flushing a Waste Retention Tank ^(C)
5-403.11	Approved Sewage Disposal System ^(P)
5-403.12	Other Liquid Wastes and Rainwater ^(C)

53. Toilet facilities: properly constructed, supplied, clean

A toilet facility should be assessed to determine if: it is not an attractant to insects; the number of fixtures are adequate; toilet tissue and a covered trash receptacle (ladies room only) are provided; fixtures are not being kept clean; and the door self-closes to prevent recontamination of hands.

Applicable Code Sections:

5-203.12	Toilets and Urinals ^(C)
5-501.17	Toilet Room Receptacle, Covered ^(C)
6-202.14	Toilet Rooms, Enclosed ^(C)
6-302.11	Toilet Tissue, Availability ^(Pf)
6-402.11	Conveniently Located ^(C)
6-501.18	Cleaning of Plumbing Fixtures ^(C)
6-501.19	Closing Toilet Room Doors ^(C)

54. Garbage/refuse properly disposed; facilities maintained

The assessment of the refuse collection and disposal areas for proper receptacles and maintenance is necessary to determine whether a violation exists. Since refuse areas may attract and harbor insects and pests, as well as create a public health nuisance, particular attention must be paid to the maintenance of the refuse facilities and area.

Applicable Code Sections:

5-501.11	Outdoor Storage Surface ^(C)
5-501.12	Outdoor Enclosure ^(C)
5-501.13	Receptacles ^(C)
5-501.14	Receptacles in Vending Machines ^(C)
5-501.15	Outside Receptacles ^(C)
5-501.16	Storage Areas, Rooms and Receptacles, Capacity and Availability ^(C)
5-501.18	Cleaning Implements and Supplies ^(C)
5-501.19	Storage Areas, Redeeming Machines, Receptacles and Waste Handling Units, Location ^(C)
5-501.110	Storage Refuse, Recyclables and Returnables ^(C)
5-501.111	Area, Enclosures and Receptacles, Good Repair ^(C)
5-501.112	Outside Storage Prohibitions ^(C)
5-501.113	Covering Receptacles ^(C)
5-501.114	Using Drain Plugs ^(C)
5-501.115	Maintaining Refuse Areas and Enclosures ^(C)
5-501.116	Cleaning Receptacles ^(C)
5-502.11	Frequency-Removal ^(C)

- 5-502.12 Receptacles or Vehicles ^(C)
- 5-503.11 Community or Individual Facility ^(C)
- 6-202.110 Outdoor refuse Areas, Curbed and Graded to Drain ^(C)

55. Physical facilities installed, maintained, and clean

Observations are made of the overall conditions or practices related to the physical facility (e.g., materials used, good repair, and maintained). It is important to make an overall assessment of the physical facility conditions to determine the level of compliance and the potential public health impact involved if compliance is not met. Storage of maintenance tools, use of laundry facilities, if applicable, disposal of mop water and separate living/sleeping quarters are included in this section.

Applicable Code Sections:

- 4-301.15 Clothes Washers and Dryers ^(C)
- 4-401.11(C) Equipment, Cloths Washers and Dryers, and Storage Cabinets, Contamination Prevention ^(C)
- 4-803.13 Use of Laundry Facilities ^(C)
- 6-101.11 Surface Characteristics-Indoor Areas ^(C)
- 6-102.11 Surface Characteristics-Outdoor Areas ^(C)
- 6-201.11 Floors, Walls and Ceilings-Cleanability ^(C)
- 6-201.12 Floors, Walls, and Ceilings, Utility Lines ^(C)
- 6-201.13 Floor and Wall Junctures, Coved, and Enclosed or Sealed ^(C)
- 6-201.14 Floor Carpeting, Restrictions and Installation ^(C)
- 6-201.15 Floor Covering, Mats and Duckboards ^(C)
- 6-201.16 Wall and Ceiling Coverings and Coatings ^(C)
- 6-201.17 Walls and Ceilings, Attachments ^(C)
- 6-201.18 Walls and Ceilings, Studs, Joists, and Rafters ^(C)
- 6-202.17 Outdoor Food Vending Areas, Overhead Protection ^(C)
- 6-202.18 Outdoor Servicing Areas, Overhead Protection ^(C)
- 6-202.19 Outdoor Walking and Driving Surfaces, Graded to Drain ^(C)
- 6-202.111 Private Homes and Living or Sleeping Quarters, Use Prohibition ^(P)
- 6-202.112 Living or Sleeping Quarters, Separation ^(C)
- 6-501.11 Repairing-Premises, Structures, Attachments, and Fixtures-Methods ^(C)
- 6-501.12 Cleaning, Frequency and Restrictions ^(C)
- 6-501.13 Cleaning Floors, Dustless Methods ^(C)
- 6-501.15 Cleaning Maintenance Tools, Preventing Contamination ^(Pf)
- 6-501.16 Drying Mops ^(C)
- 6-501.17 Absorbent Materials on Floors, Use Limitation ^(C)
- 6-501.113 Storing Maintenance Tools ^(C)
- 6-501.114 Maintaining Premises, Unnecessary Items and Litter ^(C)

56. Adequate ventilation and lighting; designated areas used

Observations should be made to ensure that the ventilation is adequately preventing an accumulation of condensation, grease or other soil from potentially contaminating food and the surrounding environment and that lights are at an adequate light intensity, and personal belongings are properly stored to maintain clean and sanitary facility and protect food and equipment.

Applicable Code Sections:

- 4-202.18 Ventilation Hood Systems, Filters ^(C)
- 4-204.11 Ventilation Hood Systems, Drip Prevention ^(C)
- 4-301.14 Ventilation Hood Systems, Adequacy ^(C)
- 6-202.11 Light Bulbs, Protective Shielding ^(C)
- 6-202.12 Heating, Ventilation, Air Conditioning System Vents ^(C)
- 6-303.11 Intensity-Lighting ^(C)

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6-304.11	Mechanical-Ventilation ^(C)
6-305.11	Designation-Dressing Areas and Lockers ^(C)
6-403.11	Designated Areas-Employee Accommodations for eating / drinking/smoking ^(C)
6-501.14	Cleaning Ventilation Systems, Nuisance and Discharge Prohibition ^(C)
6-501.110	Using Dressing Rooms and Lockers ^(C)