

# **VDH Procedures for Certification and Standardization of Food Inspection Staff**

**Division of Food and Environmental Services**



**Virginia Department of Health**  
Division of Food and Environmental Services  
109 Governor Street, 5<sup>th</sup> Floor  
Richmond, VA 23219

**2014**

## CONTENTS

<b>PART 1</b>	<b>Purpose and Definitions</b>	
	1-1 Purpose Introduction.....	3
	1-2 Definitions.....	5
<b>PART 2</b>	<b>Qualifying for Standardization</b>	
	2-1 Pre-requisite Training and Experience.....	8
<b>PART 3</b>	<b>Standardization: Field Requirements and Administration</b>	
	3-1 Scope .....	12
	3-2 Inspection Equipment Requirements .....	17
	3-3 Inspections. ....	18
	3-4 Certificate of Completion .....	28
	3-5 Standardization Renewal .....	30
	3-6 Termination of Field Exercise – Suspension or Revocation....	31
	3-7 Appeals .....	32
<b>PART 4</b>	<b>Communication Skills</b>	
	4-1 Application .....	34
<b>ANNEX 1</b>	<b>District Standardization Officer Nomination Form .....</b>	<b>36</b>
<b>ANNEX 2</b>		
	Annex 2-1: Inspection Report .....	38
	Annex 2-1: Report Marking Instructions .....	46
<b>ANNEX 3</b>	<b>Risk Control Plan .....</b>	<b>89</b>
<b>ANNEX 4</b>		
	Annex 4-1: HACCP Verification - Optional Worksheet .....	93
	Annex 4-2: HACCP Plan Summary Score Sheet .....	96
<b>ANNEX 5</b>		
	Annex 5-1: Scoring Form and Instructions .....	100
	Annex 5-2: Final Scoring Report .....	104
<b>ANNEX 6</b>	<b>Inspection Template and Checklist</b>	
	Annex 6-1: Checklist for Standardization Performance Area.....	103
	Annex 6-2: Template for Conducting a Risk-Based Inspection.....	106
	Annex 6-3: Standardization Workbook Submission Pages .....	113
	Annex 6-4: Standardization Inspection Template .....	123

## **PART 1 - PURPOSE AND DEFINITIONS**

- **1-1 Purpose**
  - *Subpart*

### **A. Background**

### **B. Introduction**

### **C. Purpose**

### **D. Scope**

#### **Introduction**

- A. The main goal of the food safety program is the reduction and prevention of foodborne illness. To that end, this document outlines the process to use in standardizing food inspection personnel. This process provides regulatory personnel the opportunity to subject their knowledge and skills related to the Virginia Food Regulations to a uniform system of measurement.

It is critical that food safety personnel become standardized through this process to ensure that foods are safe, unadulterated, and honestly presented throughout the Commonwealth, and through implementation elsewhere, the FDA can ensure these goals are met throughout the United States.

#### **B. Purpose**

The purpose of the standardization procedure is to promote uniformity of regulatory food inspections throughout the Commonwealth. In addition, it is used to reduce the risk of foodborne illness based on a science-based interpretation of the Food Code and the Virginia Food Regulations, and effective principles to achieve compliance. The application of the standardization procedure will ensure that the candidate recognizes foodborne illness risk factors and interventions, and good retail practices. The procedure will confirm that the candidate can achieve practical and immediate correction of Out of Compliance foodborne illness risk factors during the inspection, can effectively communicate with the establishment's staff, can understand and apply HACCP principles and use necessary inspection equipment in a risk-based, real-time regulatory inspection.

This procedure is not intended to provide basic training to individual candidates but rather is intended to confirm a high level of knowledge, understanding and application of food safety principles.

The candidate shall meet all of the requirements of the procedure in order to be standardized. Part 2 describes the qualifications required for District Standardization Officer (DSO) eligibility as well as for field Environmental Health Specialist (EHS) staff; Part 3 describes the

field requirements; and Part 4 describes the communication requirements to convey the purpose and findings of the inspection as well as achieve corrective action and compliance.

The Annex sections provide an outline of activities for both DSO candidates and EHS candidates. The procedures described and modeled for conducting a standardization inspection are the same as those to be used for conducting routine regulatory inspections. Both types of inspections should contain aspects of evaluation/auditing and education/training for short term and long term correction of violations. The primary focus of either type of inspection should be on provisions of the Virginia Food Regulations/Food Code that directly eliminate, prevent or reduce to an acceptable level, hazards associated with foodborne illness or injury and on those provisions whose application supports the aforementioned.

### **C. Scope**

The procedures in this manual describe the process to be used in standardizing qualified food safety inspection personnel in food establishment inspection techniques based upon the Virginia Food Regulations/FDA Food Code. Successful completion of the process results in standardization of an EHS.

The standardization process is intended to offer a tool for evaluating the candidates understanding and application of the Food Code/Virginia Food Regulations provisions during inspections of food establishments. In addition, the Standard evaluates the inspection technique used, and he or she imparts knowledge during the standardization exercise to assist the candidate with becoming more proficient in the understanding and application of the Food Code/Virginia Food Regulations and risk-based inspection technique. After each inspection, the Standard will discuss, explain and correct interpretations and marking of the inspection report with the candidate. The Standard may also take the opportunity through “teaching moments” during the inspection to point out examples that illustrate new provisions, interpretations and industry changes.

The process of questioning food establishment staff before, during and after the inspection helps to clarify procedures and methods used in the food establishment and is especially useful during foodborne illness outbreak investigations.

- **1-2 Definitions**
  - *Subpart*
- **Applicability and Terms Defined**

A. The following definitions apply in the interpretation and application of this Procedure.

**B. Terms Defined:**

1. **"Candidate"** means:
  - a. An Environmental Health Specialist who successfully completes the eligibility requirements for initial standardization;
  - b. A standardized field Environmental Health Specialist Senior who has maintained the requirements for restandardization; or
  - c. A standardized Environmental Health Specialist Senior (may include supervisor or manager) with foodservice protection responsibilities (e.g. a food establishment caseload) who applies for certification and is recommended to the Office of Environmental Health Services by the person's supervisor
  - d. A certified District Standardization Officer who has maintained the requirements for re-certification.
2. **"Certificate"** means the official document issued by VDH to a District Standardization Officer or that a district confers to a Standardized Environmental Health Specialist that has successfully completed the standardization process.
3. **"Certification"** means the process by which the VDH Standardization Officer verifies that a candidate meets the requirements set out in the procedures for certification as a District Standardization Officer.
4. **"District Standardization Officer"** means a person who has been certified and maintains certification, by the VDH Standardization Officer to conduct standardization of district EHS who conduct regulatory food inspections.
5. **"Complex food preparation"** means a process wherein multiple food processes are involved in the preparation of a food item, i.e., food is stored, prepared, cooked, cooled, reheated, hot held, and served.
6. **"CCP"** means **"Critical Control Point,"** a point or procedure in a specific FOOD system where loss of control may result in an unacceptable health risk.
7. **"CL"** means **"Critical Limit"** the maximum or minimum value to which a physical, biological, or chemical parameter must be controlled at a CRITICAL CONTROL POINT to minimize the risk that the identified FOOD safety hazard may occur.
8. **"Foodborne Illness Risk Factors"** means improper practices or procedures which are most frequently identified by epidemiologic investigation as a cause of foodborne illness or injury:
  - Improper holding temperatures;
  - Inadequate cooking;
  - Contaminated equipment;
  - Unsafe source; and
  - Poor personal hygiene.

9. **"GRP"** means **"Good Retail Practices,"** which are preventive measures that include practices and procedures which effectively control the introduction of pathogens, chemicals, and physical objects into food. Good Retail Practices are prerequisites to instituting a HACCP Plan or Risk Control Plan.
10. **"Interventions"** means the following set of new preventive measures that were introduced beginning with the 1993 FDA Food Code. The interventions are:
  - a. Management's demonstration of knowledge;
  - b. Employee health controls;
  - c. Controlling hands as a vehicle of contamination;
  - d. Time -Temperature parameters for controlling pathogens; and
  - e. Consumer advisory.
11. **"HACCP"** means **"Hazard Analysis Critical Control Point"**.
12. **"HACCP plan"** means a written document that delineates the formal procedures for following the Hazard Analysis Critical Control Point procedure developed by the National Advisory Committee on Microbiological Criteria for Foods.
13. **"HACCP Principles"** means the 7 principles of the Hazard Analysis and Critical Control Point System which are the following:
  - i. Conduct a Hazard Analysis;
  - ii. Identify the CCPs in the process;
  - iii. Establish Critical Limits for preventive measures associated with each identified CCP;
  - iv. Establish CCP monitoring requirements;
  - v. Establish corrective action to be taken when monitoring indicates that there is a deviation from the established critical limit;
  - vi. Establish procedures for verification that the HACCP system is working correctly; and
  - vii. Establish effective recordkeeping procedures that document the HACCP system.
14. **"HSP"** means **"Highly Susceptible Population,"** a group of persons who are more likely than other populations to experience foodborne disease because they are immunocompromised or older adults and in a facility that provides health care or assisted living services, such as a hospital or nursing home; or preschool age children in a facility that provides custodial care, such as a day care center.
15. **"Regulatory Authority;"** means the Virginia Department of Health or authorized representative having jurisdiction over food establishments.
16. **"Risk-based inspection;"** means a food establishment inspection approach that utilizes the technical skills and attributes identified in the five performance areas, foodborne illness risk factors and interventions, good retail practices, application of HACCP, inspection equipment, and communications as specified, with particular emphasis on interventions and foodborne illness risk factors.
17. **"RCP"** means **Risk Control Plan** which is a mutually agreed upon written plan (between the Candidate and the management of the food establishment) that describes a management system for control of foodborne disease risk factors. The plan delineates necessary records, responsible personnel, what needs to be controlled, and how it will be controlled.

18. "**Standardization**" means the process whereby a Candidate demonstrates the knowledge and skills to satisfy requirements of the Virginia Food Regulations section 12VAC5-421-3815 *Competency of Environmental Health Specialists*.
19. "**Standardized EHS**" means an Environmental Health Specialist who has successfully completed the standardization process.
20. "**State Standardization Officer (SSO)**" means an FDA Certified representative of the Office of Environmental Health Services.

## **PART 2 – Qualifying for Standardization**

### **2-1. Prerequisite Training and Experience**

#### **1. *Subparts***

- A. Objective**
- B. Eligibility for Certification as Standardizing Officer**
- C. Eligibility for EHS Standardization**

#### **A. Objective.**

This chapter explains the prerequisite training and experience requirements for candidates to qualify for VDH certification as a Standardizing Officer, and for EHS staff to qualify for standardized status. In order for VDH and the Districts to engage in the process of field inspections for the purpose of standardization and certification, the candidate must qualify by fulfilling the training and experience requirements PRIOR to engaging in the certification or standardization processes specified. These eligibility requirements only apply to first time candidates. Once certified or standardized, candidates for recertification only need to meet the certification maintenance requirements.

#### **B. Eligibility for Certification as District Standardizing Officer\*.**

- a. Candidates for initial VDH certification as a District Standardization Officer must:
  - 1. Be routinely engaged in food protection program work;
  - 2. Have job responsibility for conducting food safety training and/or standardization of other regulatory personnel.
  - 3. Have two or more years of continuous field experience in foodservice protection and be currently standardized ;
  - 4. Have successfully completed the required Food Safety Training Modules listed here: <http://vdhweb/OEHS/FOOD/guidancedocs.asp>.
  - 5. Have demonstrated proficiency in using VENIS to record physical facility information, print permits, and enter inspections on food establishments; and
  - 6. Have included in their job description the responsibility to standardize district staff in food inspections.
- b. Be appropriately nominated. The candidate's direct supervisor must sign and date the nomination form. The completed forms should be submitted to the Office of Environmental Health Services.



- c. Have successfully completed eight (8) joint inspections with the State Standardization Officer (SSO) using the process outlined in this document. The standardization procedures shall determine the ability of the candidate to apply the knowledge and skills obtained from the training curriculum, and address the five following performance areas: 1) Risk-based Inspections, 2) Good Retail Practices, 3) Application of HACCP, 4) Inspection equipment, and 5) Communication. It will be the responsibility of the SSO to make the determination regarding the competency of the new candidate for beginning the standardization process.

**\*Note:** Candidates who do not meet eligibility requirements may later request certification, after completing the unmet requirements.

### C. Eligibility for EHS Standardization.

- a. Candidates for initial Standardization by the DSO must:
  1. Be routinely engaged in food protection program work;
  2. Be a fully trained Environmental Health Specialist or EHS Senior;
  3. Have successfully met the required Food Safety Training Modules (<http://vdhweb/OEHS/FOOD/guidancedocs.asp>) and
  4. Have demonstrated proficiency in using VENIS to record physical facility information, printing permits, and entering inspections on food establishments;
  5. Note: District environmental health managers **shall direct all staff with food protection responsibilities to attain and maintain standardized status**. Field staff that conduct only temporary food establishment inspections will be an exception. Field staff who are assigned five (5) or fewer food establishments in their caseload *may* be an exception. The SSO's, in conjunction with the Office of Environmental Health Services, will make the final determination as to whether an EHS should be standardized. Only standardized Environmental Health Specialists can initiate enforcement action or condemnation of food. For the purposes of this section, only standardized Environmental Health Specialists are considered to be capable of conducting independent work.
  6. All EHS staff conducting inspections in the Food Program must complete the appropriate and designated training modules found here: <http://vdhweb/OEHS/FOOD/guidancedocs.asp>, regardless of their caseload or the percentage of time conducting inspections.
- b. Candidates will be interviewed by the DSO to assess their overall knowledge of the requirements of the Food Regulations, public health rationale, implementation guidance, and their communication skills.

c. Field Training and Experience

Within 12 months of employment or assignment to the Food Program, the EHS staff conducting inspections of food establishments must satisfactorily complete initial field training as described below. Initial field training includes:

1. Twenty-five joint training inspections with existing standardized staff; and
2. Twenty-five independent inspections.

When selecting the types of operations to inspect the district needs to have the candidate EHS accompany a standardized EHS or the DSO and conduct joint inspections of a variety of food establishments. The mix of food establishments should reflect the types of operations in the district and subsequently the types of operations that the EHS would be inspecting. Stress having variety so that the candidate EHS receives a thorough orientation to various types of menus, processes, etc. Only routine inspections should be counted, with the exception of certain planned inspections to focus on a specific process. For example, the inspection of the ROP process used by a full service restaurant, where the visit involves monitoring the procedures happening that day, taking temperatures, auditing records over the last 6 months, etc. Or it could be an inspection that focused exclusively on the fish used for sushi, identification of sources, audit of the necessary records, etc.

Inspections where the EHS only “tags along” to observe inspections shouldn’t be counted. Inspections that are counted should involve the EHS making notes and writing up a mock inspection that could be compared with the final inspection to look for training points, etc. There shall be some type of document created that can be audited by the DSO to verify what was observed, and over time to verify that the desired variety was received.

On all of these inspections the Senior, standardized EHS conducting the inspection needs to be offering comments and answering questions, and allowing the candidate EHS to occasionally explain an observation and begin gaining confidence with the goal of performing independent inspections following this period of time.

For successful standardization the EHS must demonstrate competency in inspecting a variety of types of operations, therefore those food establishments selected for the first 25 joint inspections, and a minimum of 25 independent inspections must reflect this same variety. Routine inspections and standardization inspections look for the same issues, and both must be risk-based.

No more than one Process 1 type food establishment should be selected. Ideally a majority of the operations would be Process 3 type food establishments, and the district should avoid duplicates from the same franchise, especially with fast food operations.

Some of the expectations are outlined on Page 19, and Annex 6-1 and 6-2 help in determining the performance areas that are tied to various activities. The purpose of the 25 joint and 25 independent inspections is for the candidate EHS to gain confidence and familiarity with all of these performance areas, subsequently the facilities chosen must challenge the candidate EHS in developing these skills. Among skills to demonstrate are:

- *An understanding that the standardization exercise, just like routine inspection work, will be based on the requirements in the current version of the Virginia Food Regulations and most recent version of the Standardization Procedures.*
- *Selecting food establishments in moderate to high risk categories.*
- *Conducting risk-based inspections which emphasizes the evaluation of foodborne illness risk factors and interventions but also demonstrates knowledge and the application of GRP's.*
- *Taking, when possible, final cooking temperatures of all types of animal food cooked in the establishment.*
- *Achieving corrective action for out of compliance (OOC) foodborne illness risk factors before leaving the facility.*
- *Using appropriate inspection equipment.*
- *Demonstrating effective communication skills.*

***The 25 joint inspections and 25 independent inspections need to be performed prior to sending the individual to training.***

d. Food Safety Training Modules

Following successful completion of field training and experience requirements, the candidate for Standardization must successfully complete all designated training modules identified here: <http://vdhweb/OEHS/FOOD/guidancedocs.asp>. **Only after successfully completing all training modules can field standardization begin.**

e. Field Standardization

Within 18 months of employment or assignment to the food program, staff conducting inspections of food establishments must satisfactorily complete six (6) joint inspections with the DSO using the process outlined in this document. The food safety training modules identified in (d) above must be completed by staff prior to conducting the six (6) joint inspections. Once initiated, the joint inspections must be completed within twelve (12) months, but not to exceed the eighteen (18) month initial training period.

The standardization procedures shall determine the ability of the EHS to apply the knowledge and skills obtained from the training curriculum, and address the five following performance areas: 1) Risk-based Inspections, 2) Good Retail Practices, 3) Application of HACCP, 4) Inspection equipment, and 5)

Communication It will be the responsibility of the Standardization Officer to make the determination regarding the competency of the new candidate for beginning the Standardization process.

## PART 3 - STANDARDIZATION: VHD FIELD REQUIREMENTS AND ADMINISTRATION

### Parts

- 3-1 Scope**
- 3-2 Inspection Equipment Requirements**
- 3-3 Inspections**
- 3-4 Standardization**
- 3-5 Standardization Renewal**
- 3-6 Termination of Field Exercise – Suspension or Revocation**

- **3-1. SCOPE**
  - *Subparts*
  - **A. Objective**
  - **B. Performance Areas**
  - **C. Methodology**

### **A. Objective.**

This chapter explains the field requirements leading to certification as a District Standardization Officer or Standardized EHS.

### **B. Performance Areas.**

The following areas of performance shall be addressed by the candidate during the food establishment inspections and evaluated by the Standardization Officer:

#### **a. Foodborne Illness Risk Factors and Interventions:**

The candidate shall demonstrate knowledge of current Virginia Food Regulations/Food Code requirements related to Foodborne Illness Risk Factors and public health interventions as well as the ability to interpret and apply those requirements.

**b. Good Retail Practices (GRPs):**

The Candidate shall demonstrate knowledge of the Virginia Food Regulations, provisions related to GRP's, and the ability to interpret and apply them.

**c. Application of HACCP:**

The candidate shall demonstrate the ability to verify compliance with an existing HACCP Plan and apply HACCP Principles in the development of flow charts and a Risk Control Plan (RCP). The candidate shall demonstrate the ability to apply all seven HACCP Principles to the inspection process.

**d. Inspection Equipment:**

The candidate shall be equipped with and knowledgeable of the use of inspection equipment essential to each food establishment inspection. During the inspection, the Candidate shall demonstrate knowledge of proper use of essential inspection equipment.

**e. Communication:**

The candidate shall demonstrate the ability to effectively communicate with the Person In Charge (PIC) as well as with food employees during all phases of the inspection. Additionally, the candidate shall explain significant inspection findings to the PIC at the conclusion of the inspection.

**C. Methodology.**

**a. Initial Standardization:**

1. The candidate for District Standardization Officer shall conduct eight (8) joint field inspections of food establishments (including at least one with a HACCP plan) for initial certification.
2. The candidate for Standardized EHS shall conduct six (6) joint field inspections of food establishments (including at least one with a HACCP plan).
3. All food establishments selected for inspection shall be designated moderate and high risk to include at least one of the each of the following:
  - a. Full service restaurant(independent and franchise),
  - b. Foodservice for a HSP,
  - c. Food service with an ethnic menu,
  - d. Fast food/quick-service restaurant
4. Once initiated, the joint inspections should be completed within twelve (12) months, but not to exceed the eighteen (18) month initial training period.

b. **Restandardization:**

1. The District Standardization Officer and the candidate will conduct six (6) joint field inspections of food establishments (including at least 1 with a HACCP Plan),
2. All food establishments selected for inspection shall be designated moderate and high risk to include at least one of the each of the following:
  - a. Full service restaurant(independent and franchise),
  - b. Foodservice for a HSP,
  - c. Food service with an ethnic menu,
  - d. Fast food/quick-service restaurant
3. All six inspections for restandardization should be completed within a reasonable period of time, not to exceed 3 years or the expiration period of standardization.

c. **Options of the Standardization Officer:** The Standardization Officer has the option of adjusting the type of facility selected and methodology for inspection at any time to enhance the effectiveness of the process.

d. **Performance Evaluation Methods:**

The performance of the candidate shall be evaluated by the Standardization Officer using the **methods** outlined in the following tables:

Table 1a. Summary of Evaluation Methods for Each Performance Area for <b>Qualifying as a District Standardization Officer (DSO)</b>		
PERFORMANCE AREA	INITIAL CERTIFICATION <sup>1</sup>	RE-CERTIFICATION <sup>2</sup>
<b>FOODBORNE ILLNESS RISK FACTORS AND INTERVENTIONS</b>	8 Joint Inspections	6 Joint Inspections
<b>GOOD RETAIL PRACTICES</b>	8 Joint Inspections	6 Joint Inspections
<b>Application of HACCP PRINCIPLES</b>	<ul style="list-style-type: none"> <li>• Risk Control Plan<sup>3</sup></li> <li>• Two Process Flow<sup>4</sup> Charts</li> <li>• Verification of existing HACCP Plan and</li> <li>• Orally communicates 7 Principles of HACCP</li> </ul>	<ul style="list-style-type: none"> <li>• Risk Control Plan<sup>3</sup></li> <li>• Process Flow Chart<sup>4</sup> (optional) and</li> <li>• Verification of existing HACCP Plan</li> </ul>
<b>Inspection Equipment and Skills</b>	Field Observations Demonstrated ability to enter inspections into VENIS	Field Observations Demonstrated ability to enter inspections into VENIS
<b>Communications</b>	Field Observations	Field Observations
<p><b>NOTE:</b></p> <ol style="list-style-type: none"> <li>1. All of the initial certification requirements are to be completed during a total of <b>8</b> joint inspections with the SSO, within a period of 12 months, but not to exceed the 18 month initial training period.</li> <li>2. The recertification requirements are to be completed during a total of <b>6</b> joint inspections with the SSO over a period not to exceed 3 years or the expiration period of standardization.</li> <li>3. Written risk control plans must be completed and turned in within thirty (30) days of last joint inspection, not to exceed certificate expiration date.</li> <li>4. Written process flow charts must be completed and turned in within thirty (30) days of the last joint inspection, not to exceed certificate expiration date.</li> </ol>		

Table 1b. Summary of Evaluation Methods for Each Performance Area for <b>EHS Standardization</b>		
PERFORMANCE AREA	INITIAL STANDARDIZATION <sup>1</sup>	RE-STANDARDIZATION <sup>2</sup>
<b>FOODBORNE ILLNESS RISK FACTORS AND INTERVENTIONS</b>	6 Joint Inspections	6 Joint Inspections
<b>GOOD RETAIL PRACTICES</b>	6 Joint Inspections	6 Joint Inspections
<b>Application of HACCP PRINCIPLES</b>	<ul style="list-style-type: none"> <li>• Risk Control Plan<sup>3</sup></li> <li>• Process Flow Chart<sup>4</sup></li> <li>• Verification of existing HACCP Plan and</li> <li>• Orally communicates 7 Principles of HACCP</li> </ul>	<ul style="list-style-type: none"> <li>• Risk Control Plan<sup>3</sup></li> <li>• Process Flow Chart<sup>4</sup> (optional) and</li> <li>• Verification of existing HACCP Plan</li> </ul>
<b>Inspection Equipment and Skills</b>	Field Observations Demonstrated ability to enter inspections into VENIS	Field Observations Demonstrated ability to enter inspections into VENIS
<b>Communications</b>	Field Observations	Field Observations
<p><b>NOTE:</b></p> <ol style="list-style-type: none"> <li>1. <i>All of the initial certification requirements are to be completed during a total of 6 joint inspections with the DSO, within a period of 12 months, but not to exceed the 18 month initial training period.</i></li> <li>2. <i>The recertification requirements are to be completed during a total of 6 joint inspections with the DSO over a period not to exceed 3 years or the expiration period of standardization.</i></li> <li>3. <i>Written risk control plans must be completed and turned in within thirty (30) days of last joint inspection, not to exceed certificate expiration date.</i></li> <li>4. <i>Written process flow charts must be completed and turned in within thirty (30) days of the last joint inspection, not to exceed certificate expiration date.</i></li> </ol>		



- **3-2 Inspection Equipment Requirements**
  - *Subparts*

### **A. Equipment Use**

### **B. Equipment List**

### **A. Equipment Use**

Specific inspection equipment is required to effectively and accurately conduct an inspection and evaluate risk factors that contribute to foodborne illness in food operations. The Candidate shall be evaluated on the proper use of the inspection equipment during all inspections (reference list B below). Even though some equipment is listed as optional, depending on the circumstances, it may be essential for some food establishment inspections.

### **B. Equipment List**

- a. The following is a list of the *essential* equipment required to evaluate a food operation:
  1. Necessary inspection forms and administrative materials;
  2. Head cover: baseball cap, hair net, or equivalent;
  3. Thermocouple temperature measuring device;
  4. Maximum registering thermometer or temperature-sensitive tapes for verifying hot water sanitizing warewasher final rinse temperature;
  5. Chemical test kit for different chemical sanitizer types;
  6. Flashlight;
  7. Alcohol swabs (Note: may be used for the purposes of cleaning **ONLY**, sanitizing agents found listed in 40CFR180.940 must be used for sanitizing as needed); and
  8. Light meter.
- b. The following is a list of *optional* equipment recommended to evaluate a food operation:
  1. Time-temperature data logger;
  2. Camera;
  3. pH meter
  4. Lab coat or equivalent protection to cover street clothes; and
  5. Measuring tape (for opening inspections).

- **3-3 Inspections**
  - *Subparts*

**A. Field Exercise**

**B. Performance Criteria**

**C. Assessment**

**A. Field Exercise**

**1. Roles**

**a. CANDIDATE Inspection Duties:**

During all joint field food establishment inspections, the candidate shall take the lead. At the beginning of the inspection, the candidate shall make introductions and determine who the Person In Charge (PIC).

The candidate shall record all observations and inspection data collected during the inspection. For the purpose of tracking temperature patterns, it is recommended that the candidate perform a preliminary survey of food temperatures early in each inspection.

At various times during the field exercise the candidate shall be directed to perform specific tasks, such as explaining code requirements, citing code provisions, calibrating inspection equipment, and preparing flow charts or reviewing HACCP records to demonstrate proficiency in each area.

**b. Role of the STANDARD.**

Standardization is not a joint training exercise. It is an assessment with an auditing and training component. The role of the Standardization Officer is to confirm the candidate's ability to conduct a routine inspection in realistic timeframes recognizing the foodborne illness risk factors that most frequently contribute to foodborne illness, the appropriate interventions that prevent foodborne illness, and good retail practices. The Standardization Officer will also confirm that the candidate can achieve immediate correction of Out of Compliance (OOC) risk factors, practically apply HACCP principles, demonstrate effective communication skills and correctly use inspection equipment.

The Standardization Officer's role is primarily to observe the candidate during the performance of a routine inspection and evaluate his/her performance during the standardization exercise. The Standardization Officer may offer procedural guidance to instruct the candidate to focus on specific performance areas or

demonstrate specific technical skills during the course of the exercise. Throughout the exercise, and as appropriate, the Standardization Officer will provide constructive corrective action that he/she deems beneficial to the standardization exercise.

Prior to beginning the exercise, the Standardization Officer will ensure that the candidate is briefed on expectations for performance both before and during the exercise. Areas that will be covered include the following:

- The need for the candidate to contact the food facilities for permission to conduct inspections.
- An understanding that the standardization exercise will be based on the requirements in the current version of the Virginia Food Regulations and most recent version of the *Standardization Procedures*.
- Calibrating thermocouples and thermometers before the standardization exercise.
- Having all inspection equipment and clothing with closed toed shoes recommended for safety.
- Selecting food establishments in moderate to high risk categories.
- Conducting risk-based inspections which emphasizes the evaluation of foodborne illness risk factors and interventions but also demonstrates knowledge and the application of GRP's.
- Taking, when possible, final cooking temperatures of all types of animal food cooked in the establishment.
- Achieving corrective action for out of compliance (OOC) foodborne illness risk factors before leaving the facility.
- Developing a risk control plan with management/person-in-charge.
- Preparing a food preparation process flow diagram based on observed practices.
- Explaining the seven HACCP principles (initial standardization).
- Citing the *Virginia Food Regulation/Food Code* requirements for any OOC foodborne illness risk factors or interventions on the inspection report.
- Using appropriate inspection equipment
- Demonstrating effective communication skills
- Conducting an inspection that, by the end of the exercise, resembles as closely as possible, a real time regulatory inspection.

## **2. Performance Areas**

The Standardization Officer will evaluate the candidate's ability to conduct a Risk-based inspection and apply the Virginia Food Regulations/FDA *Food Code* requirements and principles in the following performance areas:

- a. Foodborne illness risk factors and interventions – utilize an approach that effectively identifies high risk operations and behaviors in the food establishment and focuses an inspection on determining the compliance status of those related foodborne illness risk factors and/or interventions;

- b. Good retail practices – demonstrates knowledge of the *Virginia Food Regulations/Food Code* by recognizing and properly citing the provision of the Code not designated as foodborne illness risk factors and interventions;
- c. Application of HACCP (Hazard Analysis and Critical Control Point) principles – demonstrates the ability to verify compliance with an existing HACCP plan and apply HACCP principles in the development of flow charts and Risk Control Plans (RCPs). In the absence of a HACCP plan, the candidate shall demonstrate the ability to apply all seven HACCP principles to the inspection process;
- d. Inspection equipment – the candidate shall be equipped and familiar with inspection equipment essential to each food establishment inspection. During the inspection, the candidate shall demonstrate knowledge of proper use of essential inspection equipment; and
- e. Communication – the candidate shall demonstrate the ability to effectively communicate with the person in charge as well as with food employees and shall further demonstrate the ability to clearly explain significant inspection findings to the person in charge at the conclusion of the inspection.

### **3. Determining Violations:**

The Standardization Officer and the candidate shall each cite the appropriate section(s) of the Regulations corresponding to each violation observed. For this section only, scoring is not used and does not impact the outcome of the Candidate's performance

### **4. Comparison of Findings:**

Following each joint food establishment inspection, the candidate shall compare his/her findings with the Standardization Officer, and the differences shall be thoroughly discussed before proceeding to the next inspection. The Standardization Officer shall retain the Candidate's inspection reports, flow charts, and Risk Control Plan to document satisfactory completion of certification/standardization requirements.

For the purposes of this section, at the conclusion of the field exercise, the Standardization Officer shall tabulate and immediately review the candidate's inspection results and other observations prior to the next inspection to determine if the candidate has successfully completed the requirements for certification/standardization (see Annex 5).

### **5. Termination of the Exercise/Inspection.**

When circumstances necessitate that the Standardization Officer terminates the standardization exercise before completing the eight (initial) or six (re-standardization) inspections due to the candidate's inability to meet (or the likelihood of not meeting) the performance criteria, the Standardization Officer will work with the candidate and his/her supervisor to develop an action plan to help the candidate meet the performance criteria.

## B. Performance Criteria

To be certified by VDH, or standardized by the district, a candidate shall meet the following criteria for each performance area:

### a. Foodborne Illness Risk Factors and Interventions and Good Retail Practices:

#### i. Inspection Report:

At the conclusion of each inspection the candidate shall complete the VDH *Standardization Inspection Report* (reference Annex 2, Section 1), based on observations and data collected during the inspection. The Candidate shall determine whether each item on the inspection report form was in or out of compliance, not observed, and/or not applicable based on the observations.

#### ii. Candidate Scoring:

The Standardization Officer shall grade each *Standardization Inspection Report* by circling each incorrectly marked item and discussing these items with the candidate after each inspection (reference Annex 2-2, Report Marking Instructions).

The Standardization Officer may mark an item "S" to reflect a disagreement in a case where the candidate has the opportunity to make an observation or take a measurement and fails to do so, and intervention by the Standardization Officer would alert the candidate to the missed opportunity. A scoring of "S" should be used in instances such as when an opportunity to take a cooked hamburger temperature is available, but the candidate does not take the temperature and subsequently marks NO. The Standardization Officer's scoring of an item as "S" represents a disagreement between the candidate and the Standardization Officer.

At the conclusion of each inspection, the Standardization Officer shall determine the number of disagreements on items and record that number in the chart provided on the scoring document in Annex 5. At the completion of the final inspection, the Standardization Officer shall total the number of disagreements for all food establishments inspected.

- A. To satisfy the Foodborne Illness Risk Factors and Interventions performance area, the candidate shall not disagree with the Standardization Officer on **more than 11 items in any one establishment** in this section of the Standardization Inspection Report and have an **average score of at least 90% (which is less than or equal to 35 disagreements for six (6) inspections, or less than or equal to 46 disagreements for eight (8) inspections)**.

- B. To satisfy the Good Retail Practices performance area, the candidate shall not disagree with the Standardization Officer on **more than 5 items in any one establishment** in this section of the Standardization Inspection Report and have an **average score of at least 85% (which is less than or equal to 24 disagreements for six (6) inspections, or less than or equal to 32 disagreements for eight (8) inspections)**.

**b. Application of HACCP Principles:**

During the food establishment inspections, the candidate shall demonstrate the proper inspection approach for food establishments with preexisting HACCP plans and those without HACCP plans. Each candidate shall demonstrate an understanding of HACCP by:

**i. Flow Charts: (Required for initial standardization; optional for restandardization)**

**A. Preparing Process Flow Charts:**

During the joint inspections, the Standardization Officer shall select the food preparation process(es) for the candidate to describe on a flow chart.

Process 1 - No cook

Process 2 – Cook for same day service

Process 3 – Complex food preparation

For the purposes of this section, two process flow charts are required to be completed by the candidate for certification as a District Standardization Officer (at least one being a Process 3), and one process flow chart is required to be completed by the candidate for standardization. The candidate shall develop the flow chart(s) using information gained through actual observations of operational steps during an inspection. Information gained through discussions with the PIC and/or food workers should be used to substitute for a lack of observed operational steps in situations where the operational steps are not occurring during the inspection. On the flow chart, the candidate shall identify the hazards, CCPs, and CLs. The candidate shall indicate the CLs as stated by the Regulations as well as by the establishment, if differing from the Regulations. In addition, the candidate shall also indicate to the Standardization Officer any CCPs which the establishment did not control.

**B. Requirements:**

The Standardization Officer shall grade the flow chart(s) based on the correct identification of hazards, CCPs, and CLs. To satisfy this requirement, the flow chart may contain no more than 2 errors or omissions. (Note: The Virginia Food Regulations will be the reference document for this exercise, and the document titled FDA Retail HACCP Guide: *"Managing Food Safety, A HACCP Principles Guide for Operators of Food Service, Retail Food Stores,*

*and Other Food Establishments at the Retail Level"* is recommended as a formal reference. Both can be found on-line by accessing the VDH intranet Documents Page.)

**ii. Risk Control Plan: (Required for both initial standardizations and restandardizations.)**

**A. Developing a Risk Control Plan:**

During at least one of the joint inspections, the Standardization Officer will select a CCP that the candidate has determined is not in compliance with CLs set by the Regulations. The candidate shall complete the Risk Control Plan document (see Annex 3) in order to demonstrate a clear understanding of the observation, process, hazard, critical limits, and corrective actions that are being targeted for a risk control plan. The candidate shall develop a Risk Control Plan with the PIC. The Risk Control Plan should stress simple control measures that can be integrated into the daily routine of the food establishment. The plan should be brief and address the following points:

1. Specific observation(s) noted during the inspection;
2. Applicable violative section numbers;
3. Foodborne illness risk factor to be controlled;
4. Hazard (most common, significant);
5. What must be achieved to gain compliance in the future;
6. How active managerial control can be achieved (Who is responsible for the control, what monitoring and record keeping is required, who is responsible for monitoring and completing records, what corrective actions should be taken when deviations are noted, and how long the plan is to continue); and
7. How the results of implementing the RISK CONTROL PLAN will be communicated back to the inspector.

**B. Requirements:** To satisfy the requirements, all seven (7) points shall be addressed in the Risk Control Plan. The candidate is not required to ask the PIC to commit to implementation of the Risk Control Plan.

**iii. HACCP Plan: (Required for both initial standardization and restandardization)**

**Verification of HACCP Plan:**

During the joint inspections, the candidate shall select at least 1 food establishment to inspect that has implemented a HACCP Plan. The candidate shall demonstrate the ability to verify that the HACCP Plan is implemented by reviewing the food establishment's monitoring procedures and record keeping; verifying that CLs are met, and by substantiating that corrective actions are taken when the CLs are not met. The Standardizing Officer shall select at least 1 CCP for the candidate to verify.

1. The candidate shall review the records for the selected CCP(s) for 3 specific twenty-four hour periods, which shall include records for the current day, if possible, and 2 additional days selected at random;
2. Required monitoring was performed on the 3 selected dates;
3. Accurate and consistent records appear for the selected dates; and
4. Corrective action was documented in accordance with the plan when CLs were not met on each of the 3 selected dates (Candidate shall select the 3 days of records through discussions with the food establishment management).

**iv. HACCP Principles:**

- A.** During the initial standardization the candidate shall orally communicate to the Standardization Officer the HACCP Principles and how they would apply to the food establishment's operation.

**B. Evaluation of a HACCP Plan**

The candidate shall record the determination on the Standardization Inspection Report (item #27) if the HACCP Plan is required by VDH, and document findings on the HACCP Plan Verification Summary Chart (see Annex 4). To satisfy this requirement, the candidate and the Standardization Officer shall be in agreement in at least **8 out of the 9** HACCP Plan record answers on the HACCP Plan Verification Summary Chart.

**c. Inspection Equipment and Skills:**

The candidate shall have *essential* equipment (see 3-2) available for use during each inspection and shall demonstrate knowledge of the equipment necessary to conduct a food establishment inspection. The candidate shall know how to properly use and maintain the equipment. Specifically, the candidate shall demonstrate that they know how to calibrate a thermometer. The candidate shall also demonstrate the ability to enter inspections into VENIS.

**d. Communications:**

The candidate shall take the lead in communicating with industry personnel during each of the inspections to include each of the following areas (see Part 4):

- i.** Introduction;
- ii.** Open Dialogue and Discussion with the Person In Charge; and
- iii.** Exit Conference.



During the inspections, the candidate shall demonstrate by example the concepts of food safety such as seeking immediate appropriate correction of risk factors, eliciting responses about employee health, washing hands at the appropriate place and time and wearing the proper inspection apparel. The Standardization Officer shall observe and evaluate the candidate by focusing attention on communication skills that relay to the PIC, the compliance status and any observations, concerns, and alternatives for compliance. Satisfactory performance is achieved if this information is conveyed in a way that is understood, accepted, and acted upon. See Annex 6 for additional guidance.

### **C. Assessment - Level of Agreement with Performance Criteria.**

- a.** Use the form in Annex 5 to tally the number of disagreements between the Standardization Officer and the candidate on the items in both the "Risk-based inspection" and "Good Retail Practices" sections of the Standardization Inspection Report.
- b. Criteria for Success:**
  - i.** To achieve Standardization, the candidate shall meet minimum requirements for the 3 Performance Areas described in Part 3-3 B. The candidate may receive "Needs Improvement" classification in the Equipment and Communications Performance Areas and still be standardized.
  - ii.** When one or both of these Performance Areas is classified as needing improvement, the candidate and the candidate's supervisor shall be notified that the "Needs Improvement" area or areas must be satisfactorily addressed before restandardization is granted. Prior to restandardization, the candidate's supervisor must notify the Standardization Officer that the area or areas or concern have been addressed.

**Table 2. Summary of Level of Agreement Required for Each Performance Area.**

<b>Performance Area</b>	<b>Level of Agreement</b>
<b>FOODBORNE ILLNESS RISK FACTORS and INTERVENTIONS</b>	<ul style="list-style-type: none"> <li>• <b>No more than 11 disagreements</b> out of a total of 59 items in any one inspection, and <ul style="list-style-type: none"> <li>○ Less than or equal to 35 disagreements for six (6) inspections, or</li> <li>○ Less than or equal to 46 disagreements for eight (8) inspections</li> </ul> </li> </ul>
<b>Good Retail Practices</b>	<ul style="list-style-type: none"> <li>• <b>No more than 5 disagreements</b> out of a total of 27 items in any one inspection, and <ul style="list-style-type: none"> <li>○ Less than or equal to 24 disagreements for six (6) inspections, or</li> <li>○ Less than or equal to 32 disagreements for eight (8) inspections).</li> </ul> </li> </ul>
<b>Application of HACCP Principles</b>	<ul style="list-style-type: none"> <li>• <b>Process Flow Chart(s):</b> (optional for restandardization.)  Maximum of 2 errors or omissions  <b>1 Risk Control Plan:</b> <ul style="list-style-type: none"> <li>• 7 parts accurately addressed</li> </ul> </li> <li>• <b>1 HACCP Plan Verification:</b> <ul style="list-style-type: none"> <li>• Correctly review documentation records for one CCP on 3 different dates, for a food establishment HACCP Plan with agreement on at least 8 out of the 9 answers on chart in Annex 4.</li> </ul> </li> <li>• <b>Knowledge of HACCP Principles:</b>  Accurately lists 7 steps (initial Standardization only)</li> </ul>

<b>Inspection Equipment and Skills**</b>	<ul style="list-style-type: none"> <li>• Candidate has equipment from the <i>essential</i> equipment list</li> <li>• Candidate demonstrates knowledge and use of <i>essential</i> equipment</li> <li>• Candidate demonstrates ability to enter inspections into VENIS</li> </ul> <p>(Rate as Satisfactory or Needs Improvement)</p>
<b>Communications **</b>	<b>Observations of :</b> <ul style="list-style-type: none"> <li>• Introductions to Person In Charge</li> <li>• Fact finding questions through interview with Person In Charge</li> <li>• Candidate setting an example</li> <li>• Exit conference with Person In Charge</li> </ul> <p>(Rate as Satisfactory or Needs Improvement)</p>
<p>** Performance Areas deemed in need of improvement shall be satisfactorily addressed before recertification/restandardization.</p>	

### **3-4. Certificate of Completion**

- *Subparts*

- A. Certificate Issuance**
- B. Certificate Expiration**
- C. Certificate Maintenance for Certified Standardizing Officer**
- D. Certificate Maintenance for Standardized staff**

#### **A. Certificate Issuance.**

Upon achieving the required level of agreement with the Standardization Officer, the candidate is awarded the certificate of a District Standardization Officer or a Standardized Environmental Health Specialist or Standardized Environmental Health Specialist Senior. *Copies from the Standardization Officers completed page listing the operations inspected and dates, the completed Scoring Form, Final Scoring Report are to be sent to the DSO's VDH Standardization Officer, copy of Risk Control Plan, and copy of Process Flow Chart, if applicable.* The SSO is to ensure that completion is properly recorded into the VENIS Configuration Center and that a certificate recognizing the accomplishment will be created. The certificate will be signed by the Division Director and forwarded to the DSO within thirty days.

#### **B. Certificate Expiration.**

Certification or standardization is valid for a period of 3 years. The date that certification/standardization is issued and the date that it expires appear on the certificate issued by the Standardization Officer.

#### **C. Certificate Maintenance for District Standardization Officer.**

- a. Official records of all certifications in food inspection shall be maintained by the SSO for at least 3 years.
- b. Certification shall be maintained in good standing for the 3-year period when the person:
  - 1. Annually conducts and documents at least 6 standardization inspections with Environmental Health staff; and
  - 2. Annually accomplishes and documents at least 1 of the following activities:
    - A. Assists at least five (5) food establishments in the development of Risk Control Plans (RCP) and submit a report describing the outcome of the RCP to their SSO, or
    - B. Conducts or coordinates and documents to their VDH Standardization Officer at least five (5) training courses related to the food protection program, or
    - C. Performs and documents to their SSO any combination of training courses or Risk Control Plans that equals five (5).
- c. Participation in the area food committee meetings and attendance at the annual Food Summit.

- d. Responsible for the distribution of technical information and interpretations from OEHS and FDA to field staff.
- e. Continuing Education and Training – shall accumulate 24 contact hours of continuing education every 36 months after the initial standardization or restandardization is completed. One contact hour is the equivalent of one hour's participation in any of the following **FOOD-RELATED training**:
  - 1. Professional symposiums or educational sessions related to food safety offered by associations including but not limited to the Virginia Environmental Health Association, the National Capital Area Environmental Health Association, or the Central Atlantic States Association of Food & Drug Officials.
  - 2. College courses;
  - 3. Workshops;
  - 4. Training provided by government agencies such online FDA ORA-U retail or manufactured foods training, or CDC Environmental Public Health Online Courses (EPHOC).
  - 5. A maximum of **10 hours** can be recognized for activities outlined below:
    - A. Presentations to professional groups,
    - B. Classroom or field training for new or existing EHS staff,
    - C. Course instructor in food safety training class (e.g. ServSafe, NRFSP, or Prometric),
    - D. Publishing peer reviewed articles.
- f. At least once during the Certification period, the DSO shall complete the online training course 'Advanced Topics in Food Protection'. For the purposes of this section, this requirement will apply to DSO's whose Certification expires after July 1, 2013.
- g. Upon written request by the DSO the requirements may be adjusted by the SSO or the Director of the Office of Food and Environmental Services due to special situations or circumstances.

#### **D. Certificate Maintenance for Standardized Staff**

- a. Official records of all Standardization inspections in food establishments shall be maintained by the Standardization Officer for at least 3 years.
- b. Standardization shall be maintained in good standing for the 3-year period when the EHS Senior:
  - 1. Has appropriately performed district Food Program duties as assigned;
  - 2. performed six joint inspections with the Standardization Officer every three years; and
  - 3. Continuing Education and Training – shall accumulate 24 contact hours of continuing education every 36 months after the initial standardization or restandardization is completed. One contact hour is the equivalent of one hour's participation in any of the following **FOOD-RELATED training**:
    - A. Professional symposiums or educational sessions related to food safety offered by associations including but not limited to the Virginia Environmental Health Association, the National Capital Area

- Environmental Health Association, or the Central Atlantic States Association of Food & Drug Officials.
- B. College courses;
- C. Workshops;
- D. Training provided by government agencies such online FDA ORA-U retail or manufactured foods training, or CDC Environmental Public Health Online Courses (EPHOC).
- E. A maximum of **10 hours** can be recognized for activities outlined below:
  - i. Presentations to professional groups.
  - ii. Classroom or field training for new or existing EHS staff.
  - iii. Course instructor in food safety training class (e.g. ServSafe, NRFSP or Prometric)
  - iv. Publishing peer reviewed articles.
- 4. At least once during the Certification period, the standardized EHS shall complete the online training course 'Advanced Topics in Food Protection'. For the purposes of this section, this requirement will apply to standardized EHS staff whose Certification expires after July 1, 2013.

### **3-5. Standardization Renewal**

- *Subparts*
  - A. Requirements**
  - B. Expired Certificate for Standardization Officer**
  - C. Expired Certificate for Standardized EHS**

#### **A. Requirements.**

In order to renew a person's standardization, the Standardization Officer shall observe the Standardized EHS conduct six (6) inspections. A person's standardization may not be extended beyond the expiration date unless the person successfully fulfills the criteria described in Part 3-3 and Chapter 4, and has complied with the certification maintenance criteria listed in Part 3-4.

#### **B. Expired Certificate for District Standardization Officer**

If a DSO's certification expires and is not renewed the Environmental Health Manager shall apply in writing or via email to the Director of the Office of Food and Environmental Health Services a request for recertification giving reasons why the person is qualified and should be recertified. This submission should include another signed nomination form (ref Annex 1). The Director of the Office of Food and Environmental Health Services shall respond in writing or by email to the program manager or supervisor advising whether or not VDH will proceed with recertification and the conditions under which certification renewal may be accomplished.

### **C. Expired Certificate for Standardized EHS or EHS Sr.**

If a person's standardized status expires they will negotiate retraining and restandardization through their Environmental Health Manager or Supervisor and their delegated District Standardizing Officer. For the purposes of this section, restandardization means that an EHS must complete all of the initial standardization requirements (e.g. current training modules that have not been completed as necessary, six joint inspections with DSO, risk control plan and food flow). During the time period when an EHS's standardization has expired, they are no longer considered capable of independent work since only standardized EHS can initiate enforcement action or condemnation of food.

### **3-6. Termination of Field Exercise or Certification Suspension or Revocation**

#### **o Subparts**

#### **A. Termination of Field Exercise**

#### **B. Suspension or Revocation for Certified Standardization Officer**

#### **C. Request for Restandardization After Termination, Suspension, or Revocation**

#### **A. Termination of Field Exercise.**

- a. The Standardization Officer must terminate the field exercise at any time during the standardization procedure if the candidate is not properly prepared to achieve the required level of agreement or fails to meet the required level of agreement.
- b. The Standardization Officer shall notify the candidate and the candidate's supervisor in writing of the reasons for failure.
- c. The Standardization Officer shall document the results of the field exercise, with the reasons for termination of the field exercise, following termination of the standardization procedure. This information shall be forwarded to the candidate's supervisor for filing, or in the case of a District Standardization Officer candidate a copy shall be placed in the Office of Environmental Health Services file. All evidence and conclusions reached by the Agency shall be documented in writing by the Standardizing Officer and shall be kept for 3 years in accordance with the Virginia Freedom of Information Act.

#### **B. Suspension or Revocation for Certified Standardization Officer.**

- a. When a certified person fails to fulfill the required maintenance activities described in Part 3-4, the SSO shall consult with the DSO to fully examine the reasons for the failure.
- b. Before suspension or revocation, the SSO shall consult with other appropriate personnel in the certified person's department and within VDH.
- c. The SSO and representatives of the Office of Environmental Health Services shall reach a decision as to whether:

1. No action should be taken;
  2. A warning letter should be sent to the certified person and the person's supervisor or agency;
  3. The certification should be suspended temporarily, with notice regarding conditions required for reinstatement; or
  4. The certification should be revoked.
- d. The SSO shall notify the DSO and the supervisor of the DSO, in writing, of the Agency's decision.
  - e. All evidence and conclusions reached by the Agency shall be documented in writing by the SSO and shall be kept for 3 years in accordance with the Virginia Freedom of Information Act.

### **C. Request for Restandardization after Termination, Suspension, or Revocation.**

Candidates may apply for another opportunity to become certified when an unsuccessful field exercise is terminated by the Standardization Officer or a certification or suspension or revocation occurs. Before reapplying, candidates should improve their skills and areas of weakness.

## **3-7. Appeals for District Standardization Officer Candidates**

- *Subparts*
  - A. **Filing an Appeal**
  - B. **Handling of Appeal**
  - C. **Hearings**

### **A. Filing an Appeal.**

The candidate, after being notified of their failure to successfully achieve certification or re-certification, may appeal the decision to the Director of the Office of Food and Environmental Health Services. Should the candidate elect to submit an appeal, this action must be initiated within thirty days of the date of the written notification of the termination, suspension, or revocation.

### **B. Handling of Appeal**

Upon receipt of a candidate's appeal the Director of Food and Environmental Health Services will make the determination whether or not to grant the candidate a hearing.



## **C. Hearings.**

### **a. Preliminary Hearing:**

If the appeal is not convincing, the decision of the VDH Standardization Officer to terminate the field exercise will stand. Should the Director of Food and Environmental Health Services determine that the candidate's argument holds merit, the candidate and the VDH Standardization Officer shall be notified in writing that a hearing will be held, including a date and time for the hearing.

### **b. Hearing Procedure:**

At the hearing, the following procedure will be followed:

1. The candidate will present their argument for reversing the VDH Standardization Officer's decision;
2. The Director of Food and Environmental Health Services will have the opportunity to question the action or conduct of the candidate and the VDH Standardization Officer; and
3. The Director of Food and Environmental Health Services will make a decision regarding the VDH Standardization Officer's decision; the decision will be either to let the decision stand or to consider conducting an additional Certification exercise.

## 4 - COMMUNICATION SKILLS

### 4-1. Application

- *Subparts*

- A. **Objective**
- B. **Introduction**
- C. **Dialogue and Discussion with the Person in Charge**
- D. **Exit Conference**

#### A. **Objective.**

Skillful communication is essential to the inspection process in order to effectuate needed changes by the Person In Charge (PIC). This chapter highlights the importance of communication skills during an inspection. Activities and responsibilities involved in a food inspection program require a person to speak and to listen effectively.

Many different types of communication skills and approaches are necessary and valuable during the inspection process. The candidate shall be required to take the lead in communicating with industry personnel during all inspections and the Standardization Officer shall evaluate the candidate's communication skills.

#### B. **Introduction.**

The candidate shall be required to make all introductions. A complete introduction consists of:

1. Introducing all persons participating in the inspection;
2. Presenting credentials or identification;
3. Describing the purpose and flow of the inspection;
4. Identifying and explaining to the PIC that it will be necessary to ask questions about the operation during the inspection; and
5. Explaining that this is not intended as a regulatory inspection and that there will be no written report left at the end of the inspection; however, significant findings will be brought to the attention of the PIC.

In addition to verbal and written communication, the candidate shall also use the inspection process to communicate and demonstrate food safety concepts by example. Activities such as immediate correction of risk factors, focusing inspection activities on foodborne illness risk factors and interventions, proper handwashing, sanitizing thermometers with listed sanitizer (not alcohol prep pads) before probing foods, and

wearing the proper inspection apparel should be used to reinforce spoken and written communications.

**C. Dialogue and Discussion with the Person In Charge.**

The candidate shall conduct a discussion with the PIC to determine:

1. If a HACCP Plan exists, and if so, whether the PIC understands the principles of the HACCP Plan and is ensuring that the employees are effectively using the plan;
2. What training is provided for employees and managers that is relevant to applying the interventions and controlling foodborne illness risk factors;
3. What employee health policies are in effect; and
4. What Potentially Hazardous Foods/Time-Temperature Control for Safety Foods are on the menu and what production activities are ongoing at the time of inspection.

**D. Exit Conference**

During the exit conference interview, the candidate shall clearly:

1. Convey and discuss in detail with the PIC the inspection findings including:
  - a. The compliance status of the food establishment describing each significant violative condition and, where appropriate, acceptable compliance alternatives,
  - b. The response and plans of the PIC for correcting violations, including a Risk Control Plan, and
  - c. Corrective actions observed during the inspection. Such proactive food safety measures should be commended.
2. Explain the public health significance of the risk factors and interventions, GRPs, and the CCPs which do not meet the CLs as established in the Food Regulations; and
3. Demonstrate the ability to discuss and resolve in a courteous and professional manner, issues that the PIC not agree with or clearly understand.

**ANNEX 1**

**DISTRICT STANDARDIZATION OFFICER NOMINATION FORM**

**TO:** JULIE HENDERSON  
**FROM:**  
**SUBJECT:** REQUEST FOR DSO CERTIFICATION  
**DATE:**

**APPLICANT INFORMATION**

**Candidate's Name:** \_\_\_\_\_  
**Title:** \_\_\_\_\_  
**Office Telephone Number:** \_\_\_\_\_  
**Office Fax Number:** \_\_\_\_\_  
**Office Email Address:** \_\_\_\_\_  
**Office Address:** \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**BACKGROUND INFORMATION**

**Length of Service with VDH/LHD:** \_\_\_\_\_

**Present Duties / Date Assigned:** \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**Formal Education/ Training Background/Certifications:** \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**Continuing Education:** (List hours of education with course titles/dates, within the last 2 years)  
Note: 20 contact hours minimum to qualify for nomination.

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**Other Prerequisites Completed or Other Experience:** \_\_\_\_\_

---

---

---

**Attach a copy of the Candidates EWP or the proposed EWP that will document a percentage of time allocated for completion of the duties and responsibilities of a District Standardization Officer.**

**ENVIRONMENTAL HEALTH MANAGER'S SIGNATURE** (Confirming request for nomination):

**NAME (Print):** \_\_\_\_\_

**NAME (Signature):** \_\_\_\_\_ **Date:** \_\_\_\_\_

**TITLE:** \_\_\_\_\_

# VDH Standardization Inspection Report (Annex 2-1)

<b>VDH Standardization Inspection Report</b>				
<b>Establishment Name:</b>			<b>Type of Facility:</b>	
<b>Physical Address:</b>			<b>Person in Charge:</b>	
<b>City:</b>		<b>State:</b>	<b>Zip:</b>	<b>County:</b>
<b>Inspection Time In:</b>	<b>Inspection Time Out:</b>	<b>Date:</b>	<b>Candidate's Name:</b>	
<b>District:</b>	<b>Standardization Officer's Name:</b>		<b>Indicate Person Filling Out Form: (<i>circle one</i>) Candidate's Form / Standardization Officer's Form</b>	

## Foodborne Illness Risk Factors

Food from Unsafe Sources  
 Improper Holding Temperatures  
 Poor Personal Hygiene  
 Inadequate Cooking Temperatures  
 Contaminated Equipment/Cross-Contamination

## Interventions

Demonstration of Knowledge  
 Hands as a Vehicle of Contamination  
 Employee Health  
 Time/Temperature Relationships  
 Consumer Advisory

For each item, indicate one of the following for OBSERVATIONAL STATUS:

IN - Item found in compliance  
 OUT - Item found out of compliance

NO - Not observed  
 NA - Not applicable

The Standardizing Officer may mark an item "S" to reflect a disagreement in a case where the Candidate has the opportunity to make an observation or take a measurement and fails to do so, and intervention by the Standardizing Officer would alert the Candidate to the missed opportunity.

## ABBREVIATIONS

“CCP” means Critical Control Point  
 “CL” means Critical Limit  
 “GRP” means Good Retail Practices  
 “HACCP” means Hazard Analysis and Critical Control Point  
 “HSP” means Highly Susceptible Population  
 “ICSSL” means Interstate Certified Shellfish Shippers List  
 “PHF/TCS Food” means Potentially Hazardous Food/Time/Temperature Control for Safety Food  
 “RTE” means Ready-to-Eat

## **FOODBORNE ILLNESS RISK FACTORS AND INTERVENTIONS**

### **Supervision**

#### **STATUS**

**1. Person in charge present, demonstrates knowledge, and performs duties**

**IN OUT**      **A. Assignment – PIC is present**

**IN OUT**      **B. Demonstration – Code compliance, certified via testing with accredited program, or responses to safety questions regarding operation**

**IN OUT**      **C. Duties of PIC**

### **Employee Health**

**IN OUT**      **2. Management, food employee and conditional employee; Knowledge, responsibilities and reporting**

**IN OUT**      **3. Proper use of restriction and exclusion**

### **Good Hygienic Practices**

**IN OUT**      **4. Proper eating, tasting, drinking, or tobacco use**  
**NO**

**IN OUT**      **5. No discharge from eyes, nose, and mouth**  
**NO**

### **Control of Hands as a Vehicle of Contamination**

**IN OUT**      **6. Hands clean & properly washed**  
**NO**

**IN OUT**      **7. No bare hand contact with RTE foods or a pre-approved**  
**NA NO**                      **alternative procedure properly followed**

**8. Handwashing sinks properly supplied and accessible**

**IN OUT**      **A. Handwashing sinks conveniently located and accessible for employees**

**IN OUT**      **B. Handwashing sinks supplied with hand cleanser/sanitary towels/hand drying devices/ signage**

### **Approved Source**

**9. Food obtained from approved source**

- IN OUT** A. All food from regulated food processing plants/no home prepared or  
canned foods/standards for eggs, milk, juice
- IN OUT** B. All Molluscan shellfish for ICSSL listed sources/no recreationally  
**NA NO** caught shellfish received or sold/all fish commercially caught/raised
- IN OUT** C. Game animals and wild mushrooms approved by regulatory authority  
**NA NO**

**IN OUT** **10. Food received at proper temperature**  
**NA NO**

**IN OUT** **11. Food in good condition, safe, and unadulterated**

**12. Required records available: shellstock tags, parasite destruction**

- IN OUT** A. Written documentation of parasite destruction maintained for 90 days  
**NA NO** for fish products that are intended for raw or undercooked consumption
- IN OUT** B. Shellstock tags maintained for 90 days in chronological order  
**NA NO**

**Protection from Contamination**

**13. Food separated and protected**

- IN OUT** A. Separating raw animal foods from raw RTE food and separating raw  
**NA NO** animal food from cooked RTE food
- IN OUT** B. Raw animal foods separated from each other during storage,  
**NA NO** preparation, holding, and display
- IN OUT** C. Food protected from environmental contamination

**IN OUT** **14. Food-contact surfaces: cleaned and sanitized**  
**NA**

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

- IN OUT** A. After being served or sold to a consumer, food is not reserved  
**IN OUT** B. Discarding or reconditioning unsafe, adulterated, or contaminated  
Food



**Potentially Hazardous Food(PHF) Time/Temperature Control for Safety(TCS)**

**16. Proper cooking time & temperatures**

<b>IN OUT NA NO</b>	A. Raw eggs broken on request and prepared for immediate service cooked to 145°F for 15 seconds
<b>IN OUT NA NO</b>	B. Comminuted fish, meat, game animals commercially raised for food and raw eggs not prepared for immediate service and comminuted meat on a child's menu cooked to 155°F for 15 seconds or the time/temperature relationship specified in the chart in the Regulations.
<b>IN OUT NA NO</b>	C. Whole meat roast, including beef, corned beef, lamb, pork, cured pork roasts and formed roasts, cooked to 130°F for 112 minutes or as chart specifies and according to oven parameters per chart
<b>IN OUT NA NO</b>	D. Ratites and injected meats or mechanically tenderized meats cooked to 155°F for 15 seconds or the time/temperature relationship specified in the chart in the Food Code.
<b>IN OUT NA NO</b>	E. Poultry; baluts; stuffed fish/meat/poultry/ratites/pasta or stuffing containing fish, meat, poultry, or ratites; or raw animal foods with a non-continuous cooking process cooked to 165°F for 15 seconds
<b>IN OUT NA NO</b>	F. Wild game animals cooked to 165°F for 15 seconds
<b>IN OUT NA NO</b>	G. Whole-muscle, intact beef steaks cooked to surface temperature of 145°F on top and bottom. Meat surface has a cooked color.
<b>IN OUT NA NO</b>	H. Raw animal foods rotated, stirred, covered, and heated to 165°F in microwave. Food stands for 2 minutes after cooking.
<b>IN OUT NA NO</b>	I. All other raw animal foods cooked to 145°F for 15 seconds

**17. Proper reheating procedures for hot holding**

<b>IN OUT NA NO</b>	A. PHF/TCS Food that is cooked and cooled is rapidly reheated within 2 hours to 165°F or above for 15 seconds for hot holding
<b>IN OUT NA NO</b>	B. Food reheated to 165°F or above in microwave for hot holding
<b>IN OUT NA NO</b>	C. Commercially processed, RTE food reheated to 135°F or above for hot holding

**IN OUT** D. Remaining unsliced portions of roasts reheated for hot holding using  
**NA NO** minimum over parameters

### **18. Proper cooling time & temperatures**

**IN OUT** A. Cooked PHF/TCS Food cooled from 135°F to 70°F  
**NA NO** within 2 hours and from 135°F to 41°F or below in 6  
hours

**IN OUT** B. PHF/TCS Food prepared from ambient temperature and/or pre-chilled  
**NA NO** ingredients) cooled to 41°F or below in 4 hours

**IN OUT** C. Foods (milk/shellfish) received at a temperature according to law  
**NA NO** cooled to 41°F or below in 4 hours

**IN OUT** D. Immediately upon receiving, eggs placed under refrigeration that  
**NA NO** maintains ambient air temperature of 45°F

### **19. Proper hot holding temperatures**

**IN OUT** A. PHF/TCS Food maintained at 135°F or above, except during  
**NA NO** preparation, cooking, or cooling, or when time is used as a public  
health control

**IN OUT** B. Roasts held at a temperature of 130°F or above  
**NA NO**

### **20. Proper cold holding temperatures**

**IN OUT** A. PHF/TCS Food maintained at 41°F or below, except during  
**NA** preparation, cooking, cooling, or when time is used as a public health  
control

**IN OUT** B. Untreated eggs stored in 45°F ambient air temperature  
**NA NO**

### **21. Proper date marking & disposition**

**IN OUT** A. Date marking for RTE, PHF/TCS Food prepared on-site or opened  
**NA NO** commercial container held for more than 24 hours

**IN OUT** B. Discarding RTE, PHF/TCS Food prepared on-site or opened  
**NA NO** commercial container held at 41°F for ≤ 7 days

**IN OUT** **22. Time as a public health control: procedures & records**  
**NA NO**

### **Consumer Advisory**

**IN OUT**      **23. Consumer advisory provided for raw or undercooked foods**  
**NA**

### **Highly Susceptible Populations**

#### **24. Pasteurized foods used; prohibited foods not offered**

**IN OUT**      A. Prepackaged juice/beverage containing juice with a warning label [21  
**NA**              CFR, Section 101.17(g)] not served

**IN OUT**      B. Using pasteurized eggs in recipes if eggs are to be undercooked; or are  
**NA**              combined unless: cooked to order & immediately served; used immediately  
before baking and thoroughly cooked; or prepared under a  
HACCP plan controlling *Salmonella* Enteritidis

**IN OUT**      C. Raw or partially cooked animal food and raw seed sprouts not served  
**NA**

**IN OUT**      D. Foods not re-served under certain conditions  
**NA**

### **Food/Color Additives and Toxic Substances**

**IN OUT**      **25. Food additives: approved and properly used**  
**NA**

#### **26. Toxic substances properly identified, stored, and used**

**IN OUT**      A. Poisonous or toxic materials, chemicals, lubricants, pesticides,  
medicines, first aid supplies, and other personal care items properly  
identified, stored, and used

**IN OUT**      B. Poisonous or toxic materials held for retail sale properly stored  
**NA**

### **Conformance with Approved Procedures**

#### **27. Compliance with variance, specialized process, ROP Criteria & HACCP plan**

**IN OUT**      A. Reduced Oxygen Packaging (ROP) as specified in 12 VAC 5-421-

NA	870/3-502.12 permitted without a variance under certain specified conditions in accordance with a required HACCP plan.
IN OUT NA	B. Operating in accordance with approved variance and/or HACCP plan when required
IN OUT NA	C. When packaged in a food establishment, juice is treated under a HACCP plan to reduce pathogens or labeled as specified in the Regulations

## **GOOD RETAIL PRACTICES (GRPs)**

### **Safe Food and Water**

IN OUT	<b>28. Pasteurized eggs used where required</b>
IN OUT	<b>29. Water and ice from approved source</b>
IN OUT NA	<b>30. Variance obtained for specialized processing methods</b>

### **Food Temperature Control**

IN OUT	<b>31. Proper cooling methods used; adequate equipment for temperature control</b>
IN OUT NA NO	<b>32. Plant food properly cooked for hot holding</b>
IN OUT NA NO	<b>33. Approved thawing methods used</b>
IN OUT	<b>34. Thermometers provided &amp; accurate</b>

### **Food Identification**

IN OUT	<b>35. Food properly labeled; original container</b>
--------	--

### **Prevention of Contamination**

IN OUT	<b>36. Insects, rodents, &amp; animals not present/outer openings protected</b>
IN OUT	<b>37. Contamination prevented during food prep, storage &amp; display</b>
IN OUT	<b>38. Personal cleanliness</b>

**IN OUT      39. Wiping cloths: properly used & stored**

**IN OUT      40. Washing fruits & vegetables**

**Proper Use of Utensils**

**IN OUT      41. In-use utensils: properly stored**

**IN OUT      42. Utensils, equipment & linens: properly stored, dried, & handled**

**IN OUT      43. Single-use/single-service articles: properly stored & used**

**IN OUT      44. Gloves used properly**

**Utensils, Equipment and Vending**

**IN OUT      45. Food & non-food contact surfaces cleanable, properly designed, constructed, & used**

**IN OUT      46. Warewashing facilities: installed, maintained, & used; test strips**

**IN OUT      47. Non-food contact surfaces clean**

**Physical Facilities**

**IN OUT      48. Hot & cold water available; adequate pressure**

**IN OUT      49. Plumbing installed; proper backflow devices**

**IN OUT      50. Sewage & waste water properly disposed**

**IN OUT      51. Toilet facilities: properly constructed, supplied, & cleaned**

**IN OUT      52. Garbage & refuse properly disposed; facilities maintained**

**IN OUT      53. Physical facilities installed, maintained, & clean**

**IN OUT      54. Adequate ventilation & lighting; designated areas used**

## ANNEX 2-2

### REPORT MARKING INSTRUCTIONS WITH Virginia Food Regulations/FDA Food Code REFERENCES

The following provides guidance to the CANDIDATE on marking the form.

#### **Compliance Status**

For each item on the form, indicate one of the following for **COMPLIANCE STATUS**

IN – Item found in compliance N.O. – Not observed

OUT – Item found out of compliance N.A. – Not applicable

Where no option occurs for marking N.O. or N.A., these have been removed from the Marking Instructions.

The STANDARD may mark an item “S” to reflect a disagreement in a case where the CANDIDATE has the opportunity to make an observation or take a measurement and fails to do so, and intervention by the STANDARD would alert the CANDIDATE to the missed opportunity.

#### ***The Reliance of Statements made by the Person In Charge in Determining Compliance***

This Procedures Manual stresses open communication between the CANDIDATE and Person in Charge and food employees. To be an effective communicator, the CANDIDATE is expected to ask questions relative to the flow of food through the establishment, preparation and cooking procedures, as well as employee health and normal everyday operation of the facility. Responses to questions give the CANDIDATE a better idea of the **FOODBORNE ILLNESS RISK FACTORS** that could be present in the facility and allows for better budgeting of time while conducting the inspection. In addition, comments made by these individuals can often be used to support or augment direct observations and, in some very limited cases, can be used as the sole basis for determining compliance with provisions of the Virginia Food Regulations/*Food Code*. By assessing **FOODBORNE ILLNESS RISK FACTORS** that are suspected of being uncontrolled at times other than the inspection (i.e., before or after the inspection), time can be better spent on troubleshooting problems and bringing the **FOODBORNE ILLNESS RISK FACTORS** back under control through proper intervention strategies. The CANDIDATE is expected to relay deficiencies in the operation to the Person in Charge so that on-site and long-term corrective action can be initiated.

#### **Guidelines for Using Statements Made by the Person in Charge or Food Employees to Determine Compliance (Further guidance is provided in the Marking Instructions)**

- **Marking IN and OUT of Compliance**

Generally, a mark of OUT must be based on actual observations noted in the facility at the time of the inspection. Regulatory action must be based on evidence gathered during an inspection and not based solely on a Person in Charge's incorrect answer to a question asked by the Candidate. For instance, the Person in Charge tells the inspector, "I slice ham using my bare hands." This would most definitely be an item for discussion with management but would not, in and of itself, justify a mark of OUT for no bare contact with RTE food. In this case, the CANDIDATE must actually observe a food employee touching ready-to-eat food with his or her bare hands before marking OUT of compliance. There are some items on the inspection report for which the CANDIDATE may rely solely on discussions with management or food employees to determine the compliance status. These items relate to policies, including those that relate to the establishment's employee health policy and also those that address Highly Susceptible Population facilities. Frequently, observations are made while a food is undergoing a process, i.e. cooling and reheating, when the CANDIDATE must ask the Person in Charge or food employees questions to support or augment actual observations made. For instance, if a food item is observed cooling in a walk-in cooler and a temperature check reveals a temperature greater than 41°F, questions should be asked regarding the length of time the food has been cooling to properly determine compliance with the time/temp requirements of the *Food Code*. Also, this information is vital to determine the most appropriate on-site corrective action.

- **Marking Not Observed (N.O.) or Not Applicable (N.A.)**

In order to fully complete the inspection form as required, the CANDIDATE should question the Person in Charge and food employees, as appropriate, concerning the types of foods served and food preparation processes conducted in the establishment even at times when the inspector is not there. For instance, if thawing is not actually observed, the CANDIDATE should ask questions about whether or not thawing is actually conducted in the facility at anytime to properly mark thawing as either N.O. or N.A.

## **FOODBORNE ILLNESS RISK FACTORS AND INTERVENTIONS**

### **Supervision**

#### **STATUS**

## **1. Person in charge present, demonstrates knowledge, and performs duties**

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.

### **IN OUT A. Assignment – PIC**

Person in charge is present. This item is marked OUT of compliance if there is no PIC per 12 VAC 5-421-50/2-101.11(A) and (B).

**NA Do Not Mark** this item NA

**NO Do Not Mark** this item NO

12 VAC 5-421-50/2-101.11 Assignment

### **IN OUT B. Demonstration – Code compliance, certified via testing with accredited program, or responses to safety questions regarding operation**

The PIC has three options for demonstrating knowledge. This item is marked OUT of compliance if the PIC fails to meet at least **one** of the options. The three options for demonstration of knowledge allowed by the Virginia Food Regulations/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 critical items during the current inspection; or
3. Correct responses to the candidate'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 Subparagraphs 12 VAC 5-421-60 (1) (2) (3) (a) (d-q)/2-102.11(C)(1) and (4-16). Questions can be asked during the initial interview, menu review, or throughout the inspection as appropriate. The CANDIDATE 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.

**NA Do Not Mark** this item NA

**NO Do Not Mark** this item NO

12 VAC 5-421-60 (1) (2) (3) (a) (d-p)/2-102.11(A)-(B) and (C) (1) and (4-16) Demonstration  
\*2-102.20 Food Protection Manager Certification (2009 Food Code)

**NOTE 1:** “Incorrect” responses to questions regarding public health practices and Principles [except for Subparagraphs 12 VAC 5-421-60 (3) (b)-(c)/2-102.11(C)(2)-(3), which are captured under Item 2], in and of themselves, are not sufficient for marking other items on this inspection form OUT. For instance, if the PIC does not know the requirement for cooling, yet no actual OUT of compliance observations are made with regard to cooling during the inspection, then OUT of compliance cannot be marked for Item 18.



**IN OUT      C. Duties of PIC**

This item must be marked IN or OUT of compliance based on the interaction and observation with the PIC and food employee. The CANDIDATE needs to determine the systems or controls the PIC has put into practice regarding oversight and/or routine monitoring of the Duties listed in 12 VAC 5-421-70/2-103.11. 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 12 VAC 5-421-70/2-103.11.

**NA Do Not Mark** this item NA

**NO Do Not Mark** this item NO

12 VAC 5-421-70 (1-12)/2-103.11(A-L) Person in Charges-Duties

**Employee Health**

**NOTE 2:** One may rely solely on discussions, questions, and documentation to determine the compliance status of this item.

**IN OUT      2. Management, food employee and conditional employee; knowledge, responsibilities and reporting**

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

- 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 12 VAC 5-421-70 (13)/2-103.11(M) and 12 VAC 5-421-80 ((A) – (C) and (E)/2-201.11 (A) - (C), and (E); and
- 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 12 VAC 5-421-80 (A)/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 *Food Code* for each employee or other similar state or local form containing the same information; or

- **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; or

c) Providing appropriate responses to EHS questions.

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.

**NA Do Not Mark** this item NA

**NO Do Not Mark** this item NO

12 VAC 5-421-60 (3) (b) – (c) & (q)/2-102.11(C)(2)-(3) & (17) Demonstration

12 VAC 5-421-70 (13)/2-103.11(M) Person in Charge, Duties

12 VAC 5-421-80 (A), (B), (C) & (E)/2-201.11(A), (B), (C), & (E) Responsibility of Permit Holder, Person in Charge and Conditional Employees

### **IN OUT      3. Proper use of restriction and exclusion**

This item must be marked IN or OUT of compliance. To be marked IN there must be no ill employees, employees experiencing symptoms requiring reporting, or reason for the PIC to exclude or restrict an employee observed at the time of the inspection. 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 should be marked OUT of compliance when:

- The CANDIDATE observes a working employee with specific reportable symptoms [12 VAC 5-421-80 (A) (1)/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 or exclude an employee as required by 12 VAC 5-421-90 /2-201.12 & 12 VAC 5-421-100/2-201.13; 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 12 VAC 5-421-80 (A) (2) (a) – (e)/2-201.11(A)(2)(a)-(e).
- There are food employees working in the food establishment that have been diagnosed with norovirus, hepatitis A virus, shigellosis, *E. coli* O157:H7, (or other EHEC), or typhoid fever; or with active symptoms of vomiting and/or diarrhea; or working with food, food-contact equipment, utensils, or single-service articles with an open, uncovered

infected wound or pustule, or with a sore throat with a fever. 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.

**NA Do Not Mark** this item NA

**NO Do Not Mark** this item NO

12 VAC 5-421-80 (D) and (F)/2-201.11(D) and (F) Responsibility of Permit Holder, Person in Charge & Conditional Employees

12 VAC 5-421-90/2-201.12 Exclusions and Restrictions

12 VAC 5-421-100/2-201.13 Removal, Adjustment or Retention of Exclusions and Restrictions

### **Good Hygienic Practices**

#### **IN OUT      4. Proper eating, tasting, drinking, or tobacco use**

This item should be marked IN or OUT of compliance based on direct observations 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.

**NA Do Not Mark** this item NA

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

12 VAC 5-421-220/2-401.11 Eating, Drinking or Using Tobacco

12 VAC 5-421-460/3-301.12 Preventing Contamination When Tasting

#### **IN OUT      5. No discharge from eyes, nose, and mouth**

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 coughing, sneezing, runny nose, or watery eyes. This item should be marked OUT of compliance when a food employee has persistent coughing, sneezing, runny nose, or watery eyes subjecting food and food contact surfaces to potential contamination.

**NA Do Not Mark** this item NA

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

12 VAC 5-421-230/2-401.12 Discharges from the Eyes, Nose and Mouth

### **Control of Hands as a Vehicle of Contamination**

#### **IN OUT      6. Hands clean & properly washed**

**NOTE 3:** You must be in the establishment long enough to make an observation for all sections of Personnel. One should rely only on actual observations to mark Section 6 of the inspection form.

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.

**NA Do Not Mark** this item NA

**NO** This item may be marked NO for food 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.)

12 VAC 4-421-130/2-301.11 Clean Condition-Hands and Arms

12 VAC 5-421-140/2-301.12 Cleaning Procedure

12 VAC 5-421-160/2-301.14 When to Wash

12 VAC 5-421-170/2-301.15 Where to Wash

12 VAC 5-421-180/2-301.16 Hand Antiseptics

#### **IN OUT      7. No bare hand contact with RTE foods or a pre-approved alternative procedure properly followed**

This item should be marked IN or OUT of compliance. This item is marked IN compliance only when employees are observed using suitable utensils or gloves to prevent bare hand (or arm) contact with ready-to-eat foods or are observed properly following a pre-approved alternative procedure to no bare hand contact. This item should be marked OUT of compliance if one person is observed touching ready-to-eat food with their bare hands in the absence of a prior approval and written procedures for bare hand contact. Refer to Subparagraphs 12 VAC 5-421-450 (D) (1)-(7)/3-301.11(D)(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.

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

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

12 VAC 5-421-450-B/3-301.11 Preventing Contamination from Hands

12 VAC 5-421-950/3-801.11(D) Pasteurized Foods, Prohibited Re-Service, and Prohibited

### **Food**

## **8. Handwashing sinks properly supplied and accessible**

### **IN OUT      A. Handwashing sinks conveniently located and accessible for employees**

This item must be marked IN or OUT of compliance based on observations in determining that handwashing sinks are conveniently located for food employee use. If the handwashing sink is not accessible to food employees who are working in food preparation, food dispensing and warewashing areas 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.

**NA Do Not Mark** this item NA

**NO Do Not Mark** this item NO

12 VAC 5-421-2190/5-202.12 Handwashing Sink, Installation

12 VAC 5-421-2230/5-203.11 Handwashing Sinks-Numbers and Capacities

12 VAC 5-421-2280/5-204.11 Handwashing Sinks-Location and Placement)

12 VAC 5-421-2310/5-205.11 Using a Handwashing Sink-Operation and Maintenance

### **IN OUT      B. Handwashing sinks supplied with hand cleanser/sanitary towels/hand drying devices/ signage**

This item must be marked IN or OUT of compliance. based on observations in determining that handwashing sinks are properly equipped for food employee use. 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.

**NA Do Not Mark** this item NA

**NO Do Not Mark** this item NO

12 VAC 5-421-3020/6-301.11 Handwashing Cleanser, Availability

12 VAC 5-421-3030/6-301.12 Hand Drying Provision

12 VAC 5-421-3040/6-301.13 Handwashing Aids and Devices, Use Restrictions

12 VAC 5-421-3045/6-301.14 Handwashing Signage

### **Approved Source**

## **9. Food obtained from approved source**

**IN OUT      A. All food from regulated food processing plants/no home prepared or canned foods/standards for eggs, milk, juice**

This item must 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 must 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, proof of regulatory permit/licensure of a food source, etc. can be used to document approved food sources. Milk and milk products must comply with Grade A Standards. This item must be marked OUT of compliance when an approved food source cannot be determined.

**NA Do Not Mark** this item NA

**NO Do Not Mark** this item NO

12 VAC 5-421-270/3-201.11 Compliance with Food Law

12 VAC 5-421-280/3-201.12 Food in a Hermetically Sealed Container

12 VAC 5-421-290/3-201.13 Fluid Milk and Milk Products

12 VAC 5-421-295/3-202.110 Juice Treated-Commercially Processed

12 VAC 5-421-360/3-202.13 Eggs

12 VAC 5-421-370/3-202.14 Eggs and Milk Products, Pasteurized

12 VAC 5-421-2070/5-101.13 Bottled Drinking Water

**IN OUT      B. All Molluscan shellfish from ICSSL listed sources/no recreationally caught shellfish received or sold/all fish**

**commercially caught/raised or approved by the regulatory authority.**

This item should be marked IN or OUT of compliance based on direct observations of the shellstock or fish, labels and packaging, 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. This item should be marked OUT of compliance when an approved food source cannot be determined.

**NA** This item may be marked NA if shellstock or fish are not used/offered in the establishment

**NO** This item may be marked NO if shellstock or fish are sold periodically in the establishment but are not being sold at the time of the inspection and you are unable to determine prior compliance through tags, invoices or purchase records.

12 VAC 5-421-300/3-201.14 Fish

12 VAC 5-421-310/3-201.15 Molluscan Shellfish

**IN OUT      C. Game animals and wild mushrooms approved by regulatory authority**

This item should be marked IN or OUT of compliance based on direct observations of food products, food labels and packaging, 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, and proof of regulatory permit/licensure of a food source, etc. can be used to document approved food sources. This item should be marked OUT of compliance when an approved food source cannot be determined.

**NA** This item may be marked NA if game animals or wild mushrooms are not used/offered in the establishment.

**NO** This item may be marked NO if game animals or wild mushrooms are sold periodically in the establishment but are not being sold at the time of the inspection and you are unable to determine prior compliance through invoices or purchase records.

12 VAC 5-421-320/3-201.16 Wild Mushrooms

12 VAC 5-421-330/3-201.17 Game Animals

**IN OUT      10. Food received at proper temperature**

This item should be marked IN or OUT of compliance based on actual food temperature measurements of PHF (TCS Food) 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 PHF (TCS Food) by the regulatory authority at the time of delivery exceeds the temperature specifications for receiving as prescribed by the Regulations/Code.

**NA** This item may be marked NA for food operations when the establishment receives only foods that are not PHF (TCS Food) and that are not frozen.

**NO** This item may be marked NO if food is not received during the inspection.

12 VAC 5-421-340/3-202.11 Temperature

## **IN OUT      11. Food in good condition, safe, and unadulterated**

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.

**NA Do Not Mark** this item NA

**NO Do Not Mark** this item NO

12 VAC 5-421-260/3-101.11 Safe, Unadulterated, and Honestly Presented

12 VAC 5-421-380/3-202.15 Package Integrity

## **12. Required records available: shellstock tags, parasite destruction**

### **IN OUT      A. Written documentation of parasite destruction maintained for 90**



**days for fish products that are intended for raw or undercooked consumption**

This item should be marked IN or OUT of compliance based on direct observations of fish in storage, and 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 when no records of freezing of fish for parasite destruction are available.

**NA** This item may be marked NA when no raw, raw-marinated, or undercooked fish are sold or served in RTE form or the only fish sold as raw, raw-marinated are tuna species such as Yellowfin, Southern and Northern Bluefin and Bigeye, or molluscan shellfish or fish eggs removed from their skein and rinsed, or aquacultured fish such as salmon that are exempted from freezing because they are fed formulated feed that does not contain live parasites infective to that fish.

**NO** This item may be marked NO when fish 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.

12 VAC 5-421-730/3-402.11 Parasite Destruction

12 VAC 5-421-740/3-402.12 Records, Creation and Retention

**IN OUT      B. Shellstock tags maintained for 90 days and in chronological order**

This item must be marked IN or OUT of compliance based on direct observations of shellstock tags. This item must 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, when no date is recorded to indicate the last day the shellstock is sold or served

**NA** This item may be marked NA when shellstock are not used in the establishment.

**NO** This item may be marked NO when shellstock are sold periodically in the establishment, but are not being sold at the time of inspection and prior compliance through tags, invoices, buyer specifications, or purchase records cannot be verified.

12 VAC 5-421-410/3-202.18 Shellstock Identification

12 VAC 5-421-440/3-203.12 Shellstock, Maintaining Identification

**Protection from Contamination**

**13. Food separated & protected**

**IN OUT      A. Separating raw animal foods from raw RTE food and separating raw animal food from cooked RTE food**

This item should be marked IN or OUT of compliance based on direct observations of food storage and food handling practices. Frozen, sealed/intact commercially packaged raw animal food stored or displayed with or above frozen, sealed/intact commercially packaged RTE foods should be marked IN compliance. This item should be marked OUT of compliance when raw animal food is not separated from raw or cooked RTE food.

**NA** This item may be marked NA when there are no raw animal foods used in the facility or only prepackaged foods are sold.

**NO** This item is marked NO when raw animal foods are used or served seasonally and you are unable to determine compliance.

12 VAC 5-421-470 (A) (1)/3-302.11(A) (1) Packaged and Unpackaged Food-Separation, Packaging and Segregation

**IN OUT      B. Raw animal foods separated from each other during storage, preparation, holding, and display**

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 raw animal foods are subject to potential contamination by raw animal foods; or raw animal foods are observed not separated by type based on minimum cook temperatures by spacing or placing in separate containers.

**NA** This item may be marked NA when there are no raw animal foods used in the facility or only one raw animal species or only prepackaged foods are sold.

**NO** This item is marked NO when raw animal foods are used or served seasonally and you are unable to determine compliance.

12 VAC 5-421-470 (A) (2)/3-302.11(A) (2) Packaged and Unpackaged Food-Separation, Packaging and Segregation

**IN OUT      C. Food protected from environmental contamination – critical items**

This item must be marked IN or OUT of compliance based on direct observations of food storage and food handling practices. This item must be marked OUT of compliance if 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.

**NA Do not Mark** this item NA

**NO Do not Mark** this item NO.

12 VAC 5-421-470 (A)(3-8)/3-302.11(A)(3-8) Packaged and Unpackaged Food-Separation, Packaging and Segregation

12 VAC 5-421-540/3-304.11 Food Contact with Equipment and Utensils

12 VAC 5-421-580 (A)/3-304.15(A) Gloves, Use Limitation

12 VAC 5-421-670(A)/3-306.13(A) Consumer Self-Service Operations

**IN OUT      14. Food-contact surfaces: cleaned & sanitized**

**NOTE 4:** This item will require some judgment to be used when marking it IN or OUT of compliance. You must provide notes concerning the reason it is marked OUT of compliance.

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 or if one sanitizer container is without sanitizer. This item must be marked OUT of compliance if observations are made that support a pattern of noncompliance with this item, 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 is visibly soiled and being used at the time of the inspection.

**NA** This item may be marked NA only when there is no requirement to clean equipment and utensils such as when only prepackaged foods are sold.

**NO Do Not Mark** this item NO

12 VAC 5-421-1670/4-501.111 Manual Warewashing Equipment, Hot Water Sanitization Temperatures

12 VAC 5-421-1680/4-501.112 Mechanical Warewashing Equipment, Hot Water Sanitization Temperatures

12 VAC 5-421-1690/4-501.113 Mechanical Warewashing Equipment, Sanitization Pressure

12 VAC 5-421-1700/4-501.114 Manual and Mechanical Warewashing Equipment, Chemical Sanitization-Temperature, pH, Concentration and Hardness

12 VAC 5-421-1710/4-501.115 Manual Warewashing Equipment, Chemical Sanitization Using Detergent-Sanitizers

12 VAC 5-421-1770 (A)/4-601.11(A) Equipment, Food-Contact Surfaces, Nonfood Contact Surfaces and Utensils

12 VAC 5-421-1780/4-602.11 Equipment Food-Contact Surfaces and Utensils-Frequency

12 VAC 5-421-1790/4-602.12 Cooking and Baking Equipment

12 VAC 5-421-1890/4-702.11 Before Use After Cleaning

12 VAC 5-421-1900/4-703.11 Hot Water and Chemical-Methods

**15. Proper disposition of returned, previously served, reconditioned, & unsafe food**

**IN OUT      A. After being served or sold to a consumer, food is not reserved**

This item must be marked IN or OUT of compliance. This item is marked OUT of compliance if food is previously served unwrapped or otherwise unprotected and the food is observed being re-served.

**NA Do Not Mark** this item NA

**NO Do Not Mark** this item NO

12 VAC 5-421-680/3-306.14 Returned Food and Re-Service of Food

**IN OUT      B. Discarding or Reconditioning Unsafe, Adulterated, or Contaminated Food**

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 ready-to-eat food is contaminated by employees and is not discarded or reconditioned according to an approved procedure.

**NA Do Not Mark** this item NA

**NO Do Not Mark** this item NO

12 VAC 5-421-940/3-701.11 Discarding or Reconditioning Unsafe, Adulterated, or Contaminated Food

**Potentially Hazardous Food(PHF) Time/Temperature Control for Safety(TCS)**

**16. Proper cooking time & temperatures**

**NOTE 5:** 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. Also, refer to cooking chart below.

**IN OUT      A. Raw eggs broken on request and prepared for immediate service cooked to 145°F for 15 seconds.**

This item should be marked IN or OUT of compliance based on actual cooking temperature measurements using a calibrated food temperature measuring device. This item is marked OUT of compliance if a food item checked does not meet the time/temperature requirements for the cooking and the determination is made that the employee doing the cooking intends to serve the product before completing the cooking process unless requested undercooked by the consumer. If a food is cooked below the required temperature but the facility has an approved consumer advisory or an approved variance with a HACCP plan for that food item, mark the item IN compliance, record the temperature and document the reason it is IN compliance.

**NA** This item may be marked NA when raw eggs are not in the establishment, including raw eggs not used in recipes.

**NO** This item may be marked NO such as when raw eggs are used in the establishment, but you are unable to determine the cooking temperature. The inspection should be arranged at an optimum time for measuring at least one cooked item.

12 VAC 5-421-700 (A) (1)/3-401.11(A)(1) Raw Animal Foods

**IN OUT      B. Comminuted fish, meat, game animals commercially raised for food, and raw eggs not prepared for immediate service and comminuted meat on a child's menu cooked to 155°F for 15 seconds or the time/temperature relationship specified in the chart in the Regulations/Food Code.**

This item should be marked IN or OUT of compliance based on actual cooking temperature measurements using a calibrated food temperature measuring device. This item is marked OUT of compliance if a food item checked does not meet the time/temperature requirements for the cooking and the determination is made that the employee doing the cooking intends to serve the product before completing 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 a HACCP plan for that food item, mark the item IN compliance, record the temperature and document the reason it is IN compliance. Undercooked comminuted meat with a consumer advisory on a child's menu is marked OUT of compliance.

**NA** This item may be marked NA if comminuted meats are not cooked, in the establishment.

**NO** This item may be marked NO if one or more types of meat are cooked, but you are unable to determine the cooking temperature of any of them. The inspection should be arranged at an optimum time for measuring at least one cooked item.

12 VAC 5-421-700 (A) (2) and (D) (2)/3-401.11(A)(2) and (D)(2) Raw Animal Foods

**IN OUT      C. Whole meat roast, including beef, corned beef, lamb, pork, cured pork roasts and formed roasts, cooked to 130°F for 112 minutes or as chart specifies and according to oven parameters per chart.**

This item should be marked IN or OUT of compliance based on actual cooking temperature measurements using a calibrated food temperature measuring device. This item is marked OUT of compliance if a food item checked does not meet the time/temperature requirements for the cooking and the determination is made that the employee doing the cooking intends to serve the product before completing the cooking process. If a food is cooked below the required time/temperature but the facility has an approved consumer advisory or an approved variance with a HACCP plan for that food item, mark the item IN compliance, record the temperature and document the reason it is IN compliance.

**NA** This item may be marked NA when roasts or formed roasts are not cooked in the establishment.

**NO** This item may be marked NO such as when one or more of these meat items are cooked, but 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.

12 VAC 5-421-700 (B) (1)/3-401.11(B)(1) and (2) Raw Animal Foods

**IN OUT      D. Ratites and injected or mechanically tenderized meats cooked to 155°F for 15 seconds or the time/temperature relationship specified in the corresponding chart in the Regulations/Food Code.**

This item should be marked IN or OUT of compliance based on actual cooking temperature measurements using a calibrated food temperature measuring device. This item is marked OUT of compliance if a food item checked does not meet the time/temperature requirements for the cooking and the determination is made that the employee doing the cooking intends to serve the product before completing 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 a HACCP plan for that food item, mark the item IN compliance, record the temperature, and document the reason it is IN compliance.

**NA** This item may be marked NA when none of the listed foods are cooked in the establishment.

**NO** This item may be marked NO such as when one or more of the listed foods are cooked in the establishment, but you are unable to determine the cooking temperature of any of them. The inspection should be arranged at an optimum time for measuring at least one cooked item.

12 VAC 5-421-700 (A) (2)/3-401.11(A)(2) Raw Animal Foods

**IN OUT      E. Poultry; baluts; stuffed fish/meat/poultry/ratites/pasta or stuffing containing fish, meat, poultry, or ratites; or raw animal foods with a non-continuous cooking process cooked to 165°F for 15 seconds.**

This item should be marked IN or OUT of compliance based on actual cooking temperature measurements using a calibrated food temperature measuring device. This item is marked OUT of compliance if a food item checked does not meet the time/temperature requirements for the cooking and the determination is made that the employee doing the cooking intends to serve the product before completing the cooking process. Foods cooked with a non-continuous cooking process are marked OUT of

compliance if not cooked to 165°F for 15 seconds. If a food is cooked below the required temperature but the facility has an approved consumer advisory or an approved variance with a HACCP plan for that food item, mark the item IN compliance, record the temperature and document the reason it is IN compliance.

**NA** This item may be marked NA when poultry/meat/ratites or stuffed items are not cooked in the establishment.

**NO** This item may be marked NO such as when one or more items are cooked but you are unable to determine the cooking temperature of any of them. The inspection should be arranged at an optimum time for measuring at least one cooked item.

12 VAC 5-421-700 (A) (3)/3-401.11(A)(3) Raw Animal Foods

**IN OUT      F. Wild game animals cooked to 165°F for 15 seconds**

This item should be marked IN or OUT of compliance based on actual cooking temperature measurements using a calibrated food temperature measuring device. This item is marked OUT of compliance if a food item checked does not meet the time/temperature requirements for the cooking and the determination is made that the employee doing the cooking intends to serve the product before completing 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 a HACCP plan for that food item, mark the item IN compliance, record the temperature and document the reason it is IN compliance.

**NA** This item may be marked NA when no wild game animals are cooked in the establishment.

**NO** This item may be marked NO such as when wild game animals are cooked, but you are unable to determine the cooking temperature of any of them. The inspection should be arranged at an optimum time for measuring at least one cooked item.

12 VAC 5-421-700 (A) (3)/3-401.11(A)(3) Raw Animal Foods

**IN OUT      G. Whole-muscle, intact beef steaks cooked to surface temperature of 145°F on top and bottom. Meat surface has a cooked color.**

This item should be marked IN or OUT of compliance based on actual cooking temperature measurements using a calibrated food temperature measuring device. This item is marked OUT

of compliance if a food item checked does not meet the time/temperature requirements for the cooking and the determination is made that the employee doing the cooking intends to serve the product before completing 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 a HACCP plan for that food item, mark the item IN compliance, record the temperature and document the reason it is IN compliance.

**NA** This item may be marked NA when whole-muscle, intact beef steaks are not cooked in the establishment, or undercooked steaks are not offered.

**NO** This item may be marked NO such as when whole-muscle, intact beef steaks are cooked in the establishment, but you are unable to determine the cooking temperature. The inspection should be arranged at an optimum time for measuring at least one cooked item.

## 12 VAC 5-421-700 (C) (3)/3-401.11(C)(3) Raw Animal Foods

### **IN OUT      H. Raw animal foods rotated, stirred, covered, and heated to 165°F in a microwave. Food stands for 2 minutes after cooking.**

This item should be marked IN or OUT of compliance based on actual cooking temperature measurements using a calibrated food temperature measuring device. This item is marked OUT of compliance if a food item checked does not meet the time/temperature requirements for the cooking and the determination is made that the employee doing the cooking intends to serve the product before completing 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 a HACCP plan for that

food item, mark the item IN compliance, record the temperature and document the reason it is IN compliance.

**NA** This item may be marked NA when raw animal foods are not cooked in a microwave.

**NO** This item may be marked NO such as when raw animal foods are cooked in a microwave but you are unable to determine the cooking temperature of any of them. The inspection should be arranged at an optimum time for measuring at least one cooked item.

## 12 VAC 5-421-710/3-401.12 Microwave Cooking

### **IN OUT      I. All other raw animal foods cooked to 145°F for 15 seconds**

This item should be marked IN or OUT of compliance based on actual cooking temperature measurements using a calibrated food temperature measuring device. This item is marked OUT of compliance if a food item checked does not meet the time/temperature requirements for the cooking and the determination is made that the employee doing the cooking intends to serve the product before completing the cooking process unless requested undercooked by the consumer.

If a food is cooked below the required temperature but the facility has an approved consumer advisory or an approved variance with a HACCP plan for that food item, mark the item IN compliance, record the temperature and document the reason it is IN compliance.

**NA** This item may be marked NA when no raw animal foods are cooked in the



establishment.

**NO** This item may be marked NO such as 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.

12 VAC 5-421-700 (A) (1) (b)/3-401.11(A)(1)(b) Raw Animal Foods

**Internal Cooking Temperature Specifications**

<b>145°F for 15 seconds</b>	Raw eggs cooked for immediate service Fish, except as listed below for 165°F for 15 seconds	Meat, except as listed in next 2 rows Commercially raised game animals, rabbits
<b>155°F for 15 seconds</b>	Ratites (Ostrich, Rhea and Emu) Injected or mechanically tenderized meats Raw eggs not for immediate service	Comminuted meat, fish or commercially raised game animals
<b>165°F for 15 seconds</b>	Wild game animals Poultry Stuffing containing fish, meat, ratites and poultry	Stuffed fish, meat, pork, ratites, poultry & pasta
<b>Whole Meat Roasts</b> Cook to 130°F for 112 minutes or as chart specifies and according to oven parameters per chart		

**NOTE 6:** 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 OUT                      A. PHF/TCS Food that is cooked and cooled is rapidly reheated within 2 hours to 165°F or above for 15 seconds for hot holding**

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 temperature and/or within two hours prior to hot holding.

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

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

12 VAC 5-421-760 (A) and (D)/3-403.11(A) and (D) Reheating for Hot Holding

**IN OUT                      B. Food reheated to 165°F or above in microwave for hot holding**

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. The food must be stirred, covered and allowed to stand covered for two minutes after reheating. This item should be marked OUT of compliance if the items checked are not reheated to the required temperatures and/or within two hours prior to hot holding.

**NA** This item may be marked NA when foods are not reheated in a microwave in the establishment.

**NO** This item may be marked NO such as when foods are reheated in a microwave but you were unable to make a determination of compliance.

12 VAC 5-421-760 (B)/3-403.11(B) Reheating for Hot Holding

**IN OUT      C. Commercially processed, RTE food reheated to 135°F or above for hot holding**

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 temperature and/or within two hours prior to hot holding.

**NA** This item may be marked NA when commercially processed ready-to-eat foods are not reheated for hot holding in the establishment.

**NO** This item may be marked NO such as when commercially processed ready-to-eat foods are reheated for hot holding in the establishment, but you were unable to determine the reheat temperature.

12 VAC 5-421-760 (C)/3-403.11(C) Reheating for Hot Holding

**IN OUT      D. Remaining unsliced portions of roasts reheated for hot holding using minimum oven parameters**

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 temperature and/or within two hours prior to hot holding.

**NA** This item may be marked NA when remaining unsliced portions of roasts are not used or reheated in the establishment.

**NO** This item may be marked NO such as when remaining unsliced portions of roasts are reheated for hot holding in the establishment, but you were unable to determine the reheat temperature.

12 VAC 5-421-760 (E)/3-403.11(E) Reheating for Hot Holding

## 18. Proper cooling time & temperatures

**NOTE 7:** The requirement for cooling cooked PHF/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; then they 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. 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      A. Cooked PHF/TCS Food cooled from 135°F to 70°F within 2 hours and from 135°F to 41°F or below in 6 hours**

These items should be marked IN or OUT of compliance based on actual temperatures of PHF (TCS Food) 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 PHF (TCS Food) process, from start to finish.

**NA** This item may be marked NA when the establishment is a cook-serve establishment type, or does not cool or heat food.

**NO** This item may be marked NO when the establishment does cool PHF/TCS (TCS Food), but proper cooling per the prescribed temperature and time parameters cannot be determined during the length of the inspection.

12 VAC 5-421-800 (A)/3-501.14(A) Cooling

### **IN OUT      B. PHF/TCS Food prepared from ambient temperature and/or prechilled ingredients cooled to 41°F or below in 4 hours**

These items should be marked IN or OUT of compliance based on actual temperatures of PHF (TCS Food) 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. 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 PHF (TCS Food) process, from start to finish.

**NA** This item may be marked NA when the establishment does **no** cooling of PHF (TCS Food) from ambient temperature or pre-chilled ingredients.

**NO** This item may be marked NO when the establishment does cool PHF (TCS Food), but proper cooling per the prescribed temperature and time parameters cannot be determined during the length of the inspection.

#### 12 VAC 5-421-800 (B)/3-501.14(B) Cooling

**IN OUT      C. Foods (milk/shellfish) received at a temperature according to law cooled to 41°F or below in 4 hours**

**NOTE 8:** If one product is found out of temperature the item is marked out of compliance.

These items should be marked IN or OUT of compliance based on actual temperatures of PHF (TCS Food) 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. 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 PHF (TCS Food) process, from start to finish.

**NA** This item may be marked NA when the establishment does **not** receive shellstock, or milk.

**NO** This item may be marked NO when the establishment does receive shellstock, milk, or other products that have a transport temperature above 41°F.

#### 12 VAC 5-421-800 (C)/3-501.14(C) Cooling

**IN OUT      D. Immediately upon receiving, eggs placed under refrigeration that maintains ambient air temperature of 45°F**

**NOTE 9:** If eggs are immediately placed under refrigeration capable of maintaining an ambient air temperature of 7°C (45°F), satisfactory compliance is achieved. Federal regulations require that eggs be transported and stored at 7°C (45°F) or lower ambient air temperature – cooling time does not apply to this item.

This item should be marked IN or OUT of compliance based on actual observation of eggs being placed into a refrigeration unit maintaining an ambient air temperature of 45°F.

**NA** This item may be marked NA when the establishment does **not** receive eggs

**NO** This item may be marked NO only when eggs are received but you are not there to observe the actual receipt and immediate disposition.

#### 12 VAC 5-421-800 (D)/3-501.14(D) Cooling

## 19. Proper hot holding temperatures

**NOTE 10:** Temperatures IN compliance and OUT of compliance should be recorded.

**IN OUT      A. PHF/TCS Food maintained at 135°F or above, except during preparation, cooking, or cooling, or when time is used as a public health control**

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 PHF (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 PHF (TCS Food) is found out of temperature, unless Time as a Public Health Control (TPHC) is used for that PHF (TCS Food).

**NA** This item may be marked NA when the establishment does not hot hold food.

**NO** This item may be marked NO when the establishment does not hot holding of 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.

12 VAC 5-421-820 (A) (1)/3-501.16(A)(1) Potentially Hazardous Food (Time/Temperature Control for Safety Food) Hot and Cold Holding

**IN OUT      B. Roasts held at a temperature of 130°F or above**

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 PHF (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 PHF (TCS Food) is found out of temperature, unless Time as a Public Health Control (TPHC) is used for that PHF (TCS Food).

**NA** This item may be marked NA if roast is not on the menu.

**NO** This item may be marked NO when the establishment does not hot hold roasts, but no roasts are being held hot during the time of inspection. Inspections should be conducted during a time when hot holding temperatures can be taken.

12 VAC 5-421-820 (A) (1)/3-501.16(A)(1) Potentially Hazardous Food (Time/Temperature Control for Safety Food) Hot and Cold Holding

## 20. Proper cold holding temperatures

**NOTE 11:** Temperatures IN compliance and OUT of compliance should be recorded.

**IN OUT      A. PHF (TCS Food) maintained at 41°F or below, except during preparation, cooking, cooling, or when time is used as a public health control**

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 PHF (TCS Food). This item should be marked IN compliance when the regulatory authority determines that, of the PHF (TCS Food) 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 PHF (TCS Food) is found out of temperature, with supportive evidence, unless TPHC is used for that PHF (TCS Food).

**NA** This item may be marked NA when the establishment does not cold hold food.

**NO Do not mark** this item NO

12 VAC 5-421-820 (A) (2)/3-501.16(A)(2) Potentially Hazardous Food (Time/Temperature Control for Safety Food) Hot and Cold Holding

**IN OUT      B. Untreated eggs stored in 45°F ambient air temperature**

This item should be marked IN or OUT of compliance based on actual ambient refrigerated equipment temperature measurements using a calibrated temperature measuring device. This item should be marked IN compliance when the regulatory authority determines that the ambient temperature inside the refrigerated equipment is at or below 45°F. This item should be marked OUT of compliance when the regulatory authority determines that the ambient temperature inside the refrigerated equipment is above 45°F.

**NA** This item may be marked NA when the establishment does **not** receive eggs.

**NO** This item may be marked NO only when the regulatory authority determines that eggs are received but none are found on the premises at the time of the inspection.

12 VAC 5-421-820 (B)/3-501.16(B) Potentially Hazardous Food (Time/Temperature Control for Safety Food) Hot and Cold Holding

## **21. Proper date marking & disposition**

**IN OUT      A. Date marking for RTE, PHF (TCS Food) prepared on-site or opened commercial container held for more than 24 hours**

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.

**NA** This item may be marked NA when there is no ready-to-eat, PHF (TCS Food) prepared-on-premise and held, or commercial containers of ready-to-eat, PHF (TCS Food) opened and held, over 24 hours in the establishment.

**NO** This item may be marked NO 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.

#### 12 VAC 5-421-830/3-501.17 Ready-to-Eat, Potentially Hazardous Food (Time/Temperature Control for Safety Food) Date Marking

##### **IN OUT      B. Discarding RTE, PHF (TCS Food) prepared on-site or opened commercial container held at $\leq 41^{\circ}\text{F}$ for $\leq 7$ days**

This item should be marked IN or OUT of compliance. 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.

**NA** This item may be marked NA when there is no ready-to-eat, PHF (TCS Food) prepared-on-premise and held, or commercial containers of ready-to-eat, PHF (TCS Food) opened and held, over 24 hours in the establishment.

**NO** This item may be marked NO 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.

#### 12 VAC 5-421-840/3-501.18 Ready-to-Eat Potentially Hazardous Food (Time/Temperature Control for Safety Food) Disposition

##### **IN OUT      22. Time as a public health control: procedures & records**

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 Regulations/Food Code for use of TPHC is met. This provision only applies if written procedures exist that are prepared in advance and maintained on-site and available for examination by the regulatory authority. 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  $70^{\circ}\text{F}$  or less. This item should be marked OUT of compliance when the food manager implies 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.

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

**NO** This item may be marked NO when the establishment uses time only as the public health control, but is not using this practice at the time of inspection.

**Consumer Advisory**

**IN OUT      23. Consumer advisory provided for raw or undercooked foods**

This item should be marked IN or OUT of compliance based on a thorough review of the posted, written and special/daily menus with the PIC to determine if untreated eggs, meats, fish, shellfish or poultry may be used as an ingredient in 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 Regulations/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.

**NA** This item may be marked NA such as in the circumstance where 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.

**NO Do Not Mark** this item NO

12 VAC 5-421-930/3-603.11 Consumption of Animal Foods that are Raw, Undercooked, or Not Otherwise Processed to Eliminate Pathogens

**Highly Susceptible Populations**

**24. Pasteurized foods used; prohibited foods not offered**

**NOTE 12:** Discussions with the person in charge 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. Violations of bare hand contact by food employees serving a Highly Susceptible Population 12 VAC 5-421-950 (D)/ 3-801.11(D) is marked under Item #7.

**IN OUT      A. Prepackaged juice/beverage containing juice with a warning label  
[21 CFR, Section 101.17(g)] not served**

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. This item should be marked IN compliance if only treated/pasteurized juices/juice beverages are served.

**NA** This item may be marked NA if a highly susceptible population is not served.

**NO Do Not Mark** this item NO

12 VAC 5-421-950 (1)/3-801.11(A) Pasteurized Foods, Prohibited Re-service, and Prohibited Foods



**IN OUT      B. Using pasteurized eggs in recipes if eggs are to be undercooked; or are combined unless: cooked to order & immediately served; used immediately before baking and thoroughly cooked; or prepared under a HACCP plan controlling *Salmonella* Enteritidis**

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. This item should be marked IN compliance if 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.

**NA** This item may be marked NA if a highly susceptible population is not served.

**NO Do Not Mark** this item NO

12 VAC 50421-950 (2) and (5)/3-801.11(B) and (E) Pasteurized Foods, Prohibited Re-service and Prohibited Foods

**IN OUT      C. Raw or partially cooked animal food and raw seed sprouts not served**

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. This item should be marked IN compliance if no raw or partially cooked animal foods or raw seed sprouts are served.

**NA** This item may be marked NA if a highly susceptible population is not served.

**NO Do Not Mark** this item NO

12 VAC 5-421-950 (3)/3-801.11(C) Pasteurized Foods, Prohibited Re-service, and Prohibited Foods

**IN OUT      D. Foods not re-served under certain conditions**

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. This item should be marked IN compliance if no unopened packaged food is re-served following service to patients in medical isolation or quarantine.

**NA** This item may be marked NA if a highly susceptible population is not served.

**NO Do Not Mark** this item NO

12 VAC 5-421-950 (7)/3-801.11(G) Pasteurized Foods, Prohibited Re-service, and Prohibited Foods

**Food/Color Additives and Toxic Substances**

## **IN OUT      25. Food/color additives: approved & properly used**

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.

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

**NO Do Not Mark** this item NO

12 VAC 5-421-350/3-202.12 Additives

12 VAC 5-421-500/3-302.14 Protection from Unapproved Additives

## **26. Toxic Substances Properly Identified, Stored, and Used**

### **IN OUT      A. Poisonous or toxic materials, chemicals, lubricants, pesticides, medicines, first aid supplies, and other personal care items properly identified, stored, and used**

This item should be marked IN or OUT of compliance based on direct observations of 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, or if medicines and first aid kits are improperly labeled and stored.

**NA Do not Mark** this item NA

**NO Do Not Mark** this item NO

12 VAC 5-421-3320/7-101.11 Identifying Information, Prominence-Original Containers

12 VAC 5-421-3330/7-102.11 Common Name-Working Containers

12 VAC 5-421-3340/7-201.11 Separation-Storage

12 VAC 5-421-3350/7-202.11 Restriction-Presence and Use

12 VAC 5-421-3360/7-202.12 Conditions of Use

12 VAC 5-421-3370/7-203.11 Poisonous or Toxic Material Containers-Prohibitions

12 VAC 5-421- 3380/7-204.11 Sanitizers, Criteria-Chemicals

12 VAC 5-421-3390/7-204.12 Chemicals for Washing Fruits and Vegetables-Criteria  
 12 VAC 5-421-3400/7-204.13 Boiler Water Additives, Criteria  
 12 VAC 5-421-3410/7-204.14 Drying Agents, Criteria  
 12 VAC 5-421-3420/7-205.11 Incidental Food Contact, Criteria-Lubricants  
 12 VAC 5-421-3430/7-206.11 Restricted Use Pesticides, Criteria  
 12 VAC 5-421-3440/7-206.12 Rodent Bait Stations  
 12 VAC 5-421-3450/7-206.13 Tracking Powders, Pest Control and Monitoring  
 12 VAC 5-421-3460/7-207.11 Restriction and Storage-Medicines  
 12 VAC 5-421-3470/7-207.12 Refrigerated Medicines, Storage  
 12 VAC 5-421-3480/7-208.11 Storage-First Aid Supplies  
 12 VAC 5-421-3490/7-209.11 Storage-Other Personal Care Items (Stock and Retail Sale of Poisonous or Toxic Material)

**IN OUT      B. Poisonous or toxic materials held for retail sale properly stored**

This item should be marked IN or OUT of compliance based on direct observations of containers of cleaning agents and sanitizers, personal care items, first aid supplies, medicines, pesticides, and potential toxic and poisonous substances being stored for retail sale. This item should be marked IN compliance when containers of cleaning agents, sanitizers, 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 on retail sale shelves. This item should be marked OUT of compliance if poisonous or toxic materials are not properly stored on retail shelves.

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

**NO Do Not Mark** this item NO

12 VAC 5-421-3500/7-301.11 Separation-Storage and Display, Stock and Retail Sale

**Conformance with Approved Procedures**

**27. Compliance with variance, specialized process, ROP Criteria & HACCP plan**

**IN OUT      A. Reduced Oxygen Packaging (ROP) as specified in 12 VAC 5-421-870/3-502.12 permitted without a variance under certain specified conditions in accordance with a required HACCP plan.**

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. reduced oxygen packaging (including cook chill or sous vide)]. 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.

**NA** This item may be marked NA when the food establishment does not do reduced oxygen packaging on the premises.

**NO Do Not Mark** this item NO

12 VAC 5-421-870/3-502.12 Reduced Oxygen Packaging without a Variance, Criteria  
12 VAC 5-421-3620 (B)/8-201.13(B) When a HACCP Plan is Required  
12 VAC 5-421-3630 (4)/8-201.14(D) Contents of a HACCP Plan

**IN OUT      B. Operating in accordance with approved variance and/or HACCP plan as required.**

This item should be marked IN or OUT of compliance based on discussion with the PIC 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.

**NA** This item may be marked NA if the establishment is not required by the regulatory authority to have a variance or HACCP plan.

**NO Do Not Mark** this item NO

12 VAC 5-421-860/3-502.11 Variance Requirement  
8-103.12 Conformance with required procedures (2009 Food Code)

**IN OUT      C. When packaged in a food establishment, juice is treated under a HACCP plan to reduce pathogens or labeled as specified in the Virginia Food Regulations/*FDA Food Code***

This item should be marked IN or OUT of compliance based on direct observations of juice being packaged in the food establishment. A discussion with the PIC and a record review of standard operating procedures and HACCP documentation should be done to determine compliance. This item should be marked IN compliance when observations and review of available records indicate compliance is being met with regards to packaging juice.

**NA** This item may be marked NA when juice is not packaged in the establishment.

**NO Do Not Mark** this item NO

12 VAC 5-421-765/3-404.11 Treating Juice

**GOOD RETAIL PRACTICES (GRPs)**

**Safe Food and Water**

**IN OUT      28. 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, meringue and Bearnaise 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)(3) of Food Code.

12 VAC 5-421-490/3-302.13 Pasteurized Eggs, Substitute for Raw Eggs for Certain Recipes

## **IN OUT      29. 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 standards. If a nonpublic system is used as Drinking water, the water must be 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.

12 VAC 5-421-390/3-202.16 Ice

12 VAC 5-421-2050/5-101.11 Approved System-Source

12 VAC 5-421-2080/5-102.11 Standards-Quality

12 VAC 5-421-2090/5-102.12 Nondrinking Water

12 VAC 5-421-2100/5-102.13 Sampling

12 VAC 5-421-2110/5-102.14 Sample Report

12 VAC 5-421-2160/5-104.12 Alternative Water Supply

## **IN OUT      30. 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. Per 12 VAC 5-421-3620 (A)/8-201.13(A) a HACCP plan is also required as part of the variance request.

**NA** This item may be marked NA if the establishment is not engaged in a specialized processing method or a process or processing method determined by the regulatory authority to require a variance and a HACCP plan.

12 VAC 5-421-3590 Disposition of a variance request

8-103.11 Documentation of Proposed Variance and Justification

### **Food Temperature Control**

## **IN OUT      31. Proper cooling methods used; adequate equipment for temperature control**

A determination must first be made that cooling food is part of the operation. To assess whether or not the methods used facilitate cooling as specified under 12 VAC 5-421-800/ 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.

12 VAC 5-421-470, B, 4/3-302.11, B, 4 Food Being Cooled

12 VAC 5-421-770/3-501.11 Frozen Food

12 VAC 5-421-810/3-501.15 Cooling Methods

12 VAC 5-421-1450/4-301.11 Cooling, Heating and Holding Capacities-Equipment

## **IN OUT      32. Plant food properly cooked for hot holding**

In determining compliance, observations must be made and an actual cooking temperature must be obtained.

**NA** This item may be marked NA if vegetables and fruits are **not** cooked for hot holding in the establishment.

**NO** This item may be marked NO when plant foods are cooked for hot holding, but are not available for observation during the inspection.

12 VAC 5-421-720/3-401.13 Plant Food Cooking for Hot Holding

## **IN OUT      33. 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. The CANDIDATE should recognize that various food products especially those destined for deep-fat frying are often slacked (not thawed) prior to cooking.

**NA** This item may be marked NA if PHF/TCS food are **not** thawed.

**NO** This item may be marked NO if this food is thawed, but thawing was not observed during the inspection.

12 VAC 5-421-780/3-501.12 PHF/TCS Food, Slacking

12 VAC 5-421-790/3-501.13 Thawing

## **IN OUT      34. Thermometers provided & accurate**

Thermometers provide a means for assessing active managerial control of PHF (TCS Foods) temperatures. Determine compliance by observing the 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.

- 12 VAC 5-421-1180/4-203.11 Temperature Measuring Devices, Food-Accuracy
- 12 VAC 5-421-1190/4-203.12 Temperature Measuring Devices, Ambient Air and Water-Accuracy
- 12 VAC 5-421-1320/4-204.112 Temperature Measuring Devices-Functionality
- 12 VAC 5-421-1510/4-302.12 Food Temperature Measuring Devices
- 12 VAC 5-421-1730 (B)/4-502.11(B) Good Repair and Calibration

### **Food Identification**

#### **IN OUT      35. 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. 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 PHF (TCS Food) must specifically be assessed based on their specific packaging and labeling requirements.

- 12 VAC 5-421-400/3-202.17 Shucked Shellfish, Packaging and Identification
- 12 VAC 5-421-430/3-203.11 Molluscan Shellfish, Original Container
- 12 VAC 5-421-480/3-302.12 Food Storage Containers Identified with Common Name of Food
- 12 VAC 5-421-630/3-305.13 Vended PHF/TCS Food, Original Container
- 12 VAC 5-421-880/3-601.11 Standards of Identity
- 12 VAC 5-421-890/3-601.12 Honestly Presented
- 12 VAC 5-421-900/3-602.11 Food Labels
- 12 VAC 5-421-910/3-602.12 Other Forms of Information

### **Prevention of Food Contamination**

#### **IN OUT      36. Insects, rodents, & animals not present/outer openings protected**

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.

- 12 VAC 5-421-250/2-403.11 Handling Prohibition-Animals
- 12 VAC 5-421-2910/6-202.13 Insect Control Devices, Design and Installation
- 12 VAC 5-421-2930/6-202.15 Outer Openings, Protected
- 12 VAC 5-421-2940/6-202.16 Exterior Walls and Roofs, Protective Barrier
- 12 VAC 5-421-3270/6-501.111 Controlling Pests
- 12 VAC 5-421-3280/6-501.112 Removing Dead or Trapped Birds, Insects, Rodents and Other pests
- 12 VAC 5-421-3310/6-501.115 Prohibiting Animals

## **IN OUT      37. Contamination prevented during food preparation, storage & 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).

- 12 VAC 5-421-420/3-202.19 Shellstock, Condition
- 12 VAC 5-421-520/3-303.11 Ice Used as Exterior Coolant, Prohibited as Ingredient
- 12 VAC 5-421-530/3-303.12 Storage or Display of Food in Contact with Water or Ice
- 12 VAC 5-421-560/3-304.13 Linens and Napkins, Use Limitations
- 12 VAC 5-421-610/3-305.11 Food Storage-Preventing Contamination from the Premises
- 12 VAC 5-421-620/3-305.12 Food Storage, Prohibited Areas
- 12 VAC 5-421-640/3-305.14 Food Preparation
- 12 VAC 5-421-650/3-306.11 Food Display-Preventing Contamination by Consumers
- 12 VAC 5-421-660/3-306.12 Condiments, Protection
- 12 VAC 5-421-670 (B) and (C)/3-306.13(B) and (C) Consumer Self-Service Operations
- 12 VAC 5-421-690/3-307.11 Miscellaneous Sources of Contamination
- 12 VAC 5-421-3150/6-404.11 Segregation and Location-Distressed Merchandise

## **IN OUT      38. 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.



- 12 VAC 5-421-190/2-302.11 Maintenance – Fingernails
- 12 VAC 5-421-200/2-303.11 Prohibition – Jewelry
- 12 VAC 5-421-210/2-304.11 Clean Condition – Outer Clothing
- 12 VAC 5-421-240/2-402.11 Effectiveness – Hair Restraints

## **IN OUT      39. Wiping cloths: properly used & 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 (12 VAC 5-421-1700/ 4-501.114). Solutions exceeding the recommended sanitizer concentrations would be marked 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.

- 12 VAC 5-421-570/3-304.14 Wiping Cloths, Use Limitations
- 12 VAC 5-421-1010/4-101.16 Sponges, Use Limitation
- 12 VAC 5-421-1970/4-901.12 Wiping Cloths, Air Drying Location

## **IN OUT      40. Washing fruits & vegetables**

Chemicals are allowed for washing fruits and vegetables; along with simply washing them in water. Raw fruits and vegetables are to be washed prior to their preparation or offered as RTE. Discussion with the PIC and food employees will help determine the establishment's practice.

- 12 VAC 5-421-510/3-302.15 Washing Fruits and Vegetable

### **Proper Use of Utensils**

## **IN OUT      41. 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, under running water, or changing often enough to prevent bacterial growth etc. 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 containers of ice between uses. Ice scoops may be stored handles up in an ice bin and an ice machine bin provided that the scoop is not buried.

- 12 VAC 5-421-550/3-304.12 In-Use Utensils, Between-Use Storage

## **IN OUT      42. Utensils, equipment & 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 properly cleaned and stored.

- 12 VAC 5-421-1930/4-803.11 Storage of Soiled Linens
- 12 VAC 5-421-1940/4-803.12 Mechanical Washing
- 12 VAC 5-421-1960/4-901.11 Equipment and Utensils, Air Drying Required
- 12 VAC 5-421-2000 (A), (B) and (D)/4-903.11(A), (B) and (D) Equipment, Utensils, Linens, and Single-Service and Single-Use Articles
- 12 VAC 5-421-2010/4-903.12 Prohibitions
- 12 VAC 5-421-2020 (A) and (B)/4-904.11(A) and (B) Kitchenware and Tableware-Preventing Contamination
- 12 VAC 5-421-2030/4-904.12 Soiled and Clean Tableware
- 12 VAC 5-421-2040/4-904.13 Preset Tableware
- 4-904.14 Rinsing Equipment and Utensils after Cleaning and Sanitizing (2009 Food Code)

**IN OUT      43. 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 possible contamination. Food establishments without facilities for cleaning and sanitizing kitchenware and tableware shall provide only single-use and single-service articles.

- 12 VAC 5-421-1740/4-502.12 Single-Service and Single-Use Articles, Required Use
- 12 VAC 5-421-1750/4-502.13 Single-Service and Single-Use articles, Use Limitations
- 12 VAC 5-421-1760/4-502.14 Shells, Use Limitations
- 12 VAC 5-421-2000 (A) and (C)/4-903.11(A) and(C) Equipment, Utensils, Linens, and Single-Service and Single-Use Articles-Storage
- 12 VAC 5-421-2010/4-903.12 Prohibitions
- 12 VAC 5-421-2020 (A) and (C)/4-904.11 (A) and (C) Kitchenware and Tableware

**IN OUT      44. 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.

- 12 VAC 5-421-580 (B-D)/3-304.15(B-D) Gloves, Use Limitations

**Utensils, Equipment and Vending**

**IN OUT      45. Food & non-food contact surfaces cleanable, properly designed, constructed, & 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 (equipped with automatic shutoff, etc.) from potential contamination. Equipment must be properly used and in proper adjustment, such as calibrated food thermometers.

- 12 VAC 5-421-590/3-304.16 Using Clean Tableware for Second Portions and Refills
- 12 VAC 5-421-600/3-304.17 Refilling Returnables
- 12 VAC 5-421-960/4-101.11 Characteristics-Materials for Construction and Repair
- 12 VAC 5-421-970/4-101.12 Cast iron, Use Limitations
- 12 VAC 5-421-980/4-101.13 Lead, Use Limitations
- 12 VAC 5-421-990/4-101.14 Copper, Use Limitations
- 12 VAC 5-421-1000/4-101.15 Galvanized Metal, Use Limitations
- 12 VAC 5-421-1040/4-101.17 Wood, Use Limitations
- 12 VAC 5-421-1050/4-101.18 Nonstick Coatings, Use Limitations
- 12 VAC 5-421-1060/4-101.19 Nonfood-Contact Surfaces
- 12 VAC 5-421-1070/4-102.11 Characteristics-Single-Service and Single-Use
- 12 VAC 5-421-1080/4-201.11 Equipment and Utensils-Durability and Strength
- 12 VAC 5-421-1090/4-201.12 Food Temperature Measuring Devices
- 12 VAC 5-421-1100/4-202.11 Food-Contact Surfaces-Cleanability
- 12 VAC 5-421-1110/4-202.12 CIP Equipment
- 12 VAC 5-421-1120/4-202.13 “V” Threads, Use Limitations
- 12 VAC 5-421-1130/4-202.14 Hot Oil Filtering Equipment
- 12 VAC 5-421-1140/4-202.15 Can Openers
- 12 VAC 5-421-1150/4-202.16 Nonfood-Contact Surfaces
- 12 VAC 5-421-1160/4-202.17 Kick Plates, Removable
- 12 VAC 5-421-1220/4-204.12 Equipment Openings, Closure and Deflectors
- 12 VAC 5-421-1230/4-204.13 Dispensing Equipment, Protection of Equipment and Food
- 12 VAC 5-421-1240/4-204.14 Vending Machine, Vending Stage Closure
- 12 VAC 5-421-1250/4-204.15 Bearings and Gear Boxes, Leakproof
- 12 VAC 5-421-1260/4-204.16 Beverage Tubing, Separation
- 12 VAC 5-421-1270/4-204.17 Ice Units, Separation of Drains
- 12 VAC 5-421-1280/4-204.18 Condenser Unit, Separation
- 12 VAC 50421-1290/4-204.19 Can Openers on Vending Machines
- 12 VAC 5-421-1300/4-204.110(A) Molluscan Shellfish Tanks
- 12 VAC 5-421-1310/4-204.111 Vending Machines, Automatic Shutoff
- 12 VAC 5-421-1410/4-204.121 Vending Machines, Liquid Waste Products
- 4-204.122 Case Lot Handling Equipment, Move-ability (2009 Food Code)
- 12 VAC 5-421-1500/4-302.11 Utensils, Consumer Self-Service
- 12 VAC 5-421-1540/4-401.11 Equipment, Clothes Washers, Dryers and Storage Cabinets, Contamination, Prevention-Location
- 12 VAC 5-421-1550/4-402.11 Fixed Equipment, Spacing or Sealing-Installation
- 12 VAC 5-421-1560/4-402.12 Fixed Equipment, Elevation or Sealing
- 12 VAC 5-421-1570/4-501.11 Good Repair and Proper Adjustment-Equipment
- 12 VAC 5-421-1580/4-501.12 Cutting Surfaces

12 VAC 5-421-1590/4-501.13 Microwave Ovens  
12 VAC 5-421-1730 (A) and (C)/4-502.11(A) and (C) Good Repair and Calibration-Utensils, Temperature and Pressure Devices  
12 VAC 5-421-1870/4-603.17 Returnables, Cleaning for Refilling  
12 VAC 5-421-1980/4-902.11 Food-Contact Surfaces-Lubricating and reassembling  
12 VAC 5-421-1990/4-902.12 Equipment-Lubricating and Reassembling

**IN OUT      46. 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. Observation of manual and mechanical warewashing methods are made to assess the procedure for cleaning and sanitizing equipment and utensils.

12 VAC 5-421-1200/4-203.13 Pressure Measuring Devices, Mechanical Warewashing Equipment  
12 VAC 5-421-1330/4-204.113 Warewashing Machine, Data Plate Operation Specifications  
12 VAC 5-421-1340/4-204.114 Warewashing Machines, Internal Baffles  
12 VAC 5-421-1350/4-204.115 Warewashing Machines, Temperature Measuring Devices  
12 VAC 5-421-1360/4-204.116 Manual Warewashing Equipment, Heaters and Baskets  
12 VAC 5-421-1370/4-204.117 Warewashing Machines, Automatic Dispensing of Detergents and Sanitizers  
12 VAC 5-421-1380/4-204.118 Warewashing Machines, Flow Pressure Device  
12 VAC 5-421-1390/4-204.119 Warewashing Sinks and Drainboards, Self-Draining  
12 VAC 5-421-1400/4-204.120 Equipment Compartments, Drainage  
12 VAC 5-421-1460/4-301.12 Manual Warewashing, Sink Compartments, Requirements  
12 VAC 5-421-1470/4-301.13 Drainboards  
12 VAC 5-421-1520/4-302.13 Temperature Measuring Devices, Manual Warewashing  
12 VAC 5-421-1530/4-302.14 Sanitizing Solutions, Testing Devices  
12 VAC 5-421-1600/4-501.14 Warewashing Equipment, Cleaning Frequency  
12 VAC 5-421-1610/4-501.15 Warewashing Machines, Manufacturers' Operation Instructions  
12 VAC 5-421-1620/4-501.16 Warewashing Sinks, Use Limitations  
12 VAC 5-421-1630/4-501.17 Warewashing Equipment, Cleaning Agents  
12 VAC 5-421-1640/4-501.18 Warewashing Equipment, Clean Solutions  
12 VAC 5-421-1650/4-501.19 Manual Warewashing Equipment, Wash Solution Temperature  
12 VAC 5-421-1660/4-501.110 Mechanical Warewashing Equipment, Wash Solution Temperature  
12 VAC 5-421-1720/4-501.116 Warewashing Equipment, Determining Chemical Sanitizer Concentration  
12 VAC 5-421-1820/4-603.12 Pre-cleaning  
12 VAC 5-421-1830/4-603.13 Loading of Soiled Items, Warewashing Machines  
12 VAC 5-421-1840/4-603.14 Wet Cleaning  
12 VAC 5-421-1850/4-603.15 Washing, Procedures for Alternative Manual Warewashing Equipment  
12 VAC 5-421-1860/4-603.16 Rinsing Procedures

## **IN OUT      47. 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.

12 VAC 5-421-1770 (B) and (C)/4-601.11(B) and (C) Equipment, Food-Contact Surfaces, Nonfood Contact Surfaces and Utensils

12 VAC 5-421-1800/4-602.13 Nonfood Contact Surfaces

### **Physical Facilities**

## **IN OUT      48. Hot & 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.

12 VAC 5-421-2120/5-103.11 Capacity-Quality and Availability

12 VAC 5-421-2130/5-103.12 Pressure

12 VAC 5-421-2150/5-104.11 System-Distribution, Delivery, and Retention

## **IN OUT      49. 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.

12 VAC 5-421-2060/5-101.12 System Flushing and Disinfection

12 VAC 5-421-2170/5-201.11 Approved-Materials

12 VAC 5-421-2180/5-202.11 Approved System and Cleanable Fixtures

12 VAC 5-421-2200/5-202.13 Backflow Prevention, Air Gap

12 VAC 5-421-2210/5-202.14 Backflow Prevention Device, Design Standard

12 VAC 5-421-2220/5-202.15 Conditioning Device, Design

12 VAC 5-421-2250/5-203.13 Service Sink

12 VAC 5-421-2260/5-203.14 Backflow Prevention Device, When Required

12 VAC 5-421-2270/5-203.15 Backflow Prevention Device, Carbonator

12 VAC 5-421-2290/5-204.12 Backflow Prevention Device, Location

12 VAC 5-421-2300/5-204.13 Conditioning Device, Location

12 VAC 5-421-2320/5-205.12 Prohibiting a Cross Connection

12 VAC 5-421-2330/5-205.13 Scheduling Inspection and Service for a Water System Device

12 VAC 5-421-2340/5-205.14 Water Reservoir of Fogging Devices, Cleaning

12 VAC 5-421-2350/5-205.15 System Maintained in Good Repair

12 VAC 5-421-2360/5-301.11 Approved-Materials for Mobile Water Tank and Mobile Food Establishment Water Tank

12 VAC 5-421-2370/5-302.11 Enclosed System, Sloped to Drain

- 12 VAC 5-421-2380/5-302.12 Inspection and Cleaning Port, Protected and Secured
- 12 VAC 5-421-2390/5-302.13 “V” Type Threads, Use Limitation
- 12 VAC 5-421-2400/5-302.14 Tank Vent, Protected
- 12 VAC 5-421-2410/5-302.15 Inlet and Outlet, Sloped to Drain
- 12 VAC 5-421-2420/5-302.16 Hose, Construction and Identification
- 12 VAC 5-421-2430/5-303.11 Filter, Compressed Air
- 12 VAC 5-421-2440/5-303.12 Protective Cover or Device
- 12 VAC 5-421-2450/5-303.13 Mobile Food Establishment Tank Inlet
- 12 VAC 5-421-2460/5-304.11 System Flushing and Sanitization-Operation and Maintenance
- 12 VAC 5-421-2470/5-304.12 Using a Pump and Hoses, Backflow Prevention
- 12 VAC 5-421-2480/5-304.13 Protecting Inlet, Outlet and Hose Fitting
- 12 VAC 5-421-2490/5-304.14 Tank, Pump and Hoses, Dedication

## **IN OUT      50. Sewage & waste water properly disposed**

There are two types of systems: public sewage treatment plant and an individual sewage disposal system. Observations of the facility’s 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, must be installed between the sewage system and the drain of equipment holding food or utensils. Mobile wastewater holding tanks must also be assessed for capacity and maintenance. Mop water must be disposed of properly.

- 12 VAC 5-421-2500/5-401.11 Capacity and Drainage
- 12 VAC 5-421-2520/5-402.11 Backflow Prevention
- 12 VAC 5-421-2530/5-402.12 Grease Trap
- 12 VAC 5-421-2540/5-402.13 Conveying Sewage
- 12 VAC 5-421-2550/5-402.14 Removing Mobile Food Establishment Wastes
- 12 VAC 5-421-2560/5-402.15 Flushing a Waste Retention Tank
- 12 VAC 5-421-2570/5-403.11 Approved Sewage Disposal System
- 12 VAC 5-421-2580/5-403.12 Other Liquid Wastes and Rainwater

## **IN OUT      51. Toilet facilities: properly constructed, supplied, & cleaned**

A toilet facility should be assessed to determine if the number of fixtures are adequate and that 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 and attractant of insects.

- 12 VAC 5-421-2240/5-203.12 Toilets and Urinals
- 12 VAC 5-421-2660/5-501.17 Toilet Room Receptacle, Covered
- 12 VAC 5-421-2920/6-202.14 Toilet Rooms, Enclosed
- 12 VAC 5-421-3070/6-302.11 Toilet Tissue, Availability
- 12 VAC 5-421-3130/6-402.11 Convenience and Accessibility
- 12 VAC 5-421-3240/6-501.18 Cleaning of Plumbing Fixtures
- 12 VAC 5-421-3250/6-501.19 Closing Toilet Room Doors

## **IN OUT      52. 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.

- 12 VAC 5-421-2600/5-501.11 Outdoor Storage Surface
- 12 VAC 5-421-2610/5-501.12 Outdoor Enclosure
- 12 VAC 5-421-2620/5-501.13 Receptacles
- 12 VAC 5-421-2630/5-501.14 Receptacles in Vending Machines
- 12 VAC 5-421-2640/5-501.15 Outside Receptacles
- 12 VAC 5-421-2650/5-501.16 Storage Areas, Rooms and Receptacles, Capacity and Availability
- 12 VAC 5-421-2670/5-501.18 Cleaning Implements and Supplies
- 12 VAC 5-421-2680/5-501.19 Storage Area, Redeeming Machines, Receptacles and Waste Handling Units, Location
- 12 VAC 5-421-2690/5-501.110 Storing Refuse, Recyclables and Returnables
- 12 VAC 5-421-2700/5-501.111 Area, Enclosures and Receptacles, Good Repair
- 12 VAC 5-421-2710/5-501.112 Outside Storage Prohibitions
- 12 VAC 5-421-2720/5-501.113 Covering Receptacles
- 12 VAC 5-421-2730/501.114 Using Drain Plugs
- 12 VAC 5-421-2740/5-501.115 Maintaining Refuse Areas and Enclosures
- 12 VAC 5-421-2750/5-501.116 Cleaning Receptacles
- 12 VAC 5-421-2760/5-502.11 Frequency-Removal
- 12 VAC 5-421-2770/5-502.12 Receptacles or Vehicles
- 12 VAC 5-421-2780/5-503.11 Community or Individual Facility
- 12 VAC 5-421-2980/6-202.110 Outdoor Refuse Areas, Curbed and Graded to Drain

## **IN OUT      53. Physical facilities installed, maintained, & clean**

Observations are made of the overall installation, conditions or practices related to the physical facility (i.e. whether they are in good repair and maintained). It is important that a general assessment is made in determining the level of compliance, such as in an isolated incident versus trend, and of the potential public health impact involved. Storage of maintenance tools, use of laundry facilities, (if applicable), and separate living/sleeping quarters are included in this section.

- 12 VAC 5-421-1490/4-301.15 Clothes Washers and Dryers
- 12 VAC 5-421-1540/4-401.11(C) Equipment, Clothes Washers and Dryers, and Storage Cabinets, Contamination Prevention
- 12 VAC 5-421-1950/4-803.13 Use of Laundry Facilities
- 12 VAC 5-421-2790/6-101.11 Surface Characteristics-Indoor Areas
- 12 VAC 5-421-2800/6-102.11 Surface Characteristics-Outdoor Areas
- 12 VAC 5-421-2810/6-201.11 Floors, Walls and Ceilings-Cleanability
- 12 VAC 5-421-2820/6-201.12 Floors, Walls and Ceilings, Utility Lines
- 12 VAC 5-421-2830/6-201.13 Floor and Wall Junctures, Coved, and Enclosed or Sealed

12 VAC 5-421-2840/6-201.14 Floor Carpeting, Restrictions and Installations  
 12 VAC 5-421-2850/6-201.15 Floor Covering, Mats and Duckboards  
 12 VAC 5-421-2860/6-201.16 Walls and Ceiling Coverings and Coatings  
 12 VAC 5-421-2870/6-201.17 Walls and Ceilings, Attachments  
 12 VAC 5-421-2880/6-201.18 Walls and Ceilings, Studs, Joists and Rafters  
 12 VAC 5-421-2950/6-202.17 Outdoor Food Vending Areas, Overhead Protection  
 12 VAC 5-421-2960/6-202.18 Outdoor Servicing Areas, Overhead Protection  
 12 VAC 5-421-2970/6-202.19 Outdoor Walking and Driving Surfaces, Graded to Drain  
 12 VAC 5-421-2990/6-202.111 Private Homes and Living or Sleeping Quarters, Use Prohibition  
 12 VAC 5-421-3000/6-202.112 Living or Sleeping Quarters, Separation  
 12 VAC 5-421-3170/6-501.11 Repairing-Premises, Structures, Attachments, and Fixtures-Methods  
 12 VAC 5-421-3180/6-501.12 Cleaning, Frequency and restrictions  
 12 VAC 5-421-3190/6-501.13 Cleaning Floors, Dustless Methods  
 12 VAC 5-421-3210/6-501.15 Cleaning Maintenance Tools, Preventing Contamination  
 12 VAC 5-421-3220/6-501.16 Drying Mops  
 12 VAC 5-421-3230/6-501.17 Absorbent Materials on floors, Use Limitations  
 12 VAC 5-421-3290/6-501.113 Storing Maintenance Tools  
 12 VAC 5-421-3300/6-501.114 Maintaining Premises, Unnecessary Items and Litter

## IN OUT **54. Adequate ventilation & 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.

12 VAC 5-421-1170/4-202.18 Ventilation Hood Systems, Filters  
 12 VAC 5-421-1210/4-204.11 Ventilation Hood Systems, Drip Prevention  
 12 VAC 5-421-1480/4-301.14 Ventilation Hood Systems, Adequacy  
 12 VAC 5-421-2890/6-202.11 Light Bulbs, Protective Shielding  
 12 VAC 5-421-2900/6-202.12 Heating, Ventilation, air Conditioning System Vents  
 12 VAC 5-421-3080/6-303.11 Intensity-Lighting  
 12 VAC 5-421-3090/6-304.11 Mechanical-Ventilation  
 12 VAC 5-421-3100/6-305.11 Designation-Dressing Areas and Lockers  
 12 VAC 5-421-3140/6-403.11 Designated areas-Employee Accommodations  
 12 VAC 5-421-3200/6-501.14 Cleaning Ventilation Systems, Nuisance and Discharge Prohibition  
 12 VAC 5-421-3260/6-501.110 Using Dressing Rooms and Locker

## **VDH Standardization Risk Control Plan** (Annex 3)

Establishment Name:

Type of Facility:



Physical Address:			Person in Charge:		
City:			State: Va	Zip:	
Inspection Time In:	Inspection Time Out:	Date:	Inspector's Name:		
Agency:					

**Specific observations noted during inspection:**

---



---



---

**Applicable code violation(s): (Optional)**

---



---



---

**Risk factor to be controlled:**

---



---



---

**Hazard (most common, significant):**

---



---



---

**What must be achieved to gain compliance in the future:**

---



---



---

**How will active managerial control be achieved:**

(Who is responsible for the control, what monitoring and record keeping is required, who is responsible for monitoring and completing records, what corrective actions should be taken when deviations are noted, how long is the plan to continue.)

**How will the results of implementing the RCP be communicated back to the inspector:**

As the person in charge of the \_\_\_\_\_ located at \_\_\_\_\_, I have reviewed, and understand the provisions of this voluntary Risk Control Plan.

\_\_\_\_\_  
(Establishment Manager)

\_\_\_\_\_  
(Date)

\_\_\_\_\_  
(Regulatory Official)

\_\_\_\_\_  
(Date)

<b>Sample Risk Control Plan</b>	
Establishment Name: <b>Hamburger Heaven</b>	Type of Facility: <b>Fast Food (risk category 3)</b>
Physical Address: <b>1234 Anywhere Street</b>	Person in Charge: <b>Sam Jones</b>

City: <b>Nice</b>		State: <b>VA</b>		Zip: <b>11111</b>	County: <b>Justin</b>
Inspection Time In: <b>8:00 a.m.</b>	Inspection Time Out: <b>10:00 a.m.</b>	Date: 7-11-XX		Inspector's Name: <b>Jane Smith</b>	
Agency: <b>VDH</b>					

**Specific observation noted during inspection:**

Bulk containers of chili in the walk-in cooler were found to be between 60°F and 85°F. The chili had been prepared as a bulk quantity the previous day, poured into 8"pans, covered and placed into the walk-in cooler. No temperature audits plan is in place to monitor the proper cooling of this potentially hazardous, temperature control for safety (PHF/TCS) prepared food.

**Applicable code violation(s):**

12 VAC 5-421-800 (A)/3-501.14 (A)

**Risk factor to be controlled:**

The cooling of chili, which is a PHF/TCS food.

**Hazard (most common, significant):**

Improperly cooled PHF/TCS foods present a risk for *Clostridium perfringens* spores to pass into a vegetative phase. *C. perfringens* is a known foodborne illness pathogen commonly associated with improperly cooled foods.

**What must be achieved to gain compliance in the future:**

The chili needs to be cooled within a total of 6 hours or less from 135°F to 41°F. The cooling from 135°F to 70°F needs to happen within 2 hours.

**How will active managerial control be achieved:**

1. After cooking and checking to verify that all parts of the chili have reached 155°F or higher Alice will remove the pot of chili from the stove and place into two smaller pots. She will place the pots on the counter beside the stove and stir over the next half hour to help the food lose some heat.

2. John will make sure that the third basin of the sink is clean and all soiled dishware has been removed from the area.
3. Alice will use the sink for setting up an ice bath for the two pots of chili before the temperature reaches 135°F. She will be responsible for making sure that ice remains in the solution throughout the cooling process.
4. Alice and John will both monitor the ice bath and regularly stir the chili. Alice will take a temperature each half hour and write the results on a temperature log located on a clipboard beside the sink. If the temperature of the chili is above 70°F after an hour she will separate portions from each into a third pot, add more ice to ice water bath and continue to monitor.
5. If the chili does not appear to be cooling to 70°F within 2 hours John will return the chili to the stove, heat to above 165°F and then Alice will start the cooling process again using multiple small pots.
6. When the chili has cooled to 41°F Alice will place into small pans, cover and code date and place into the walk-in cooler.
7. Robert will monitor the records to verify that the chili is being properly cooled, and he will be available to Alice and John if they have questions about anything they must do if the cooling process doesn't appear to be working.

**How will the results of implementing the RCP be communicated back to the inspector:**

Each Friday for four weeks Sam Jones will fax a copy of the temperature logs to Jane Smith (fax number 804-555-1212) for her review. Jane will conduct a follow-up inspection in thirty days (8/26/XX).

As the person in charge of the Hamburger Heaven located at 1234 Anywhere Street, I have reviewed and understand the provisions of this plan.

Sam Jones  
(Establishment Manager)

7/26/XX  
(Date)

Jane Smith  
Environmental Health Specialist, Sr.

7/26/XX  
(Date)

(Standardization Risk Control Plan – Annex 3)

## HACCP PLAN VERIFICATION WORKSHEET (Annex 4-1)

(Note: This document is for optional use only, and is not a requirement for the Standardization Procedure. Form useful for the evaluation of a HACCP Plan during a food establishment inspection or for a general plan assessment visit. )

Establishment Name:			Type of Facility:	
Physical Address:			Person in Charge:	
City:		State: Va	Zip:	County:
Inspection Time In:	Inspection Time Out:	Date:	Candidate's Name:	
Agency:		Standardization Officers Name:	Indicate Person Filling Out Form: ( <i>circle one</i> ) Candidate's Form / Standardization Officers Form	

1. Have there been any changes to the food establishment menu?

Yes\_\_\_\_\_ No \_\_\_\_\_

DESCRIBE: \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

2. Was there a need to change the food establishment HACCP plan because of these menu changes?

Yes\_\_\_\_\_ No \_\_\_\_\_

3. List Critical Control Points (CCPs) and Critical Limits (CLs) identified by the establishment HACCP plan?

CCPs	CLs
_____	_____
_____	_____
_____	_____

---

4. What monitoring records for CCPs are required by the plan?

Type of Record	Monitoring Frequency	Record Location
<hr/>	<hr/>	<hr/>
<hr/>	<hr/>	<hr/>
<hr/>	<hr/>	<hr/>
<hr/>	<hr/>	<hr/>

5. Record compliance under Item #27 of the *VDH Standardization Inspection Report* (ANNEX 2 Section 1). Are monitoring actions performed according to the plan?

Yes\_\_\_\_\_ No\_\_\_\_\_ Describe under Item #27 of the *VDH Standardization Inspection Report* .

6. Is immediate corrective action taken and recorded when CLs established by the plan are not met? Yes\_\_\_\_\_ No\_\_\_\_\_

DESCRIBE: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

7. Are the corrective actions the same as described in the plan? Yes\_\_\_\_\_ No\_\_\_\_\_

DESCRIBE: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

8. Who is responsible for verification that the required records are being properly maintained?

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

9. Did employees and managers demonstrate knowledge of the HACCP plan?

Yes\_\_\_\_\_ No\_\_\_\_\_

DESCRIBE: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

10. What training has been provided to support the HACCP plan?

---

---

---

11. Describe examples of any documentation that the above training was accomplished?

---

---

---

12. Are calibrations of equipment/thermometers performed as required by the plan?

Yes \_\_\_\_ No \_\_\_\_

DESCRIBE: \_\_\_\_\_

---

---

Additional Comments:

Person Interviewed: \_\_\_\_\_

## **HACCP PLAN VERIFICATION SUMMARY** (Annex 4-2)

Establishment Name:			Type of Facility:	
Physical Address:			Person in Charge:	
City:		State: Va	Zip:	County:
Insp. Time In:	Insp. Time Out:	Date:	Candidate's Name:	
Agency:	Standardization Officers Name:		Indicate Person Filling Out Form: ( <i>circle one</i> ) Candidate's Form / Standardization Officers Form	

<b>Chart 2: HACCP Plan Verification Summary</b>			
<b>HACCP Plan Verification Summary (circle YES or NO)</b>			
	<b>Record #1</b>	<b>Record #2</b>	<b>Record #3</b>
	<b>Today's Date:</b>	<b>2<sup>nd</sup> Selected Date:</b>	<b>3<sup>rd</sup> Selected Date:</b>
Required Monitoring Recorded <sup>1</sup>	YES/ NO	YES / NO	YES / NO
Accurate and Consistent <sup>2</sup>	YES / NO	YES / NO	YES / NO
Corrective Action Documented <sup>3</sup>	YES / NO	YES / NO	YES/ NO
Total # of record answers that are in Disagreement with the Standard = _____ (This box for Completion by Standardization Officer only)			

The use of a HACCP plan by a food establishment can be verified through a review of food establishment records and investigating the following information:

1. Does the food establishment's HACCP documentation indicate that required monitoring was recorded on the 3 selected dates? A "YES" answer would indicate that all required monitoring was documented. If any required monitoring was not documented, a "NO" answer would be circled in this section.



2. Does the food establishment's HACCP documentation for the selected dates appear accurate and consistent with other observations? A "YES" answer would indicate that the record appears accurate and consistent. A "NO" answer would indicate that there is inaccurate or inconsistent HACCP documentation.
3. Was corrective action documented in accordance with the HACCP plan when CLs were not met on each of the 3 selected dates? A "YES" answer would indicate that corrective action was documented for each CL not met for each of the 3 selected dates. A "Yes" can also mean that no corrective action was needed. A "NO" answer would indicate any missing or inaccurate documentation of corrective action.

**(HACCP Plan Verification Worksheet and Summary – Annex 4-2)**

## **VDH STANDARDIZATION SCORING FORM AND INSTRUCTIONS FOR SCORING AND DETERMINING PERFORMANCE**

(Annex 5-1)

The purpose of the following chart is to tally the disagreement between the Candidate's and the Standardization Officers responses on the VDH Standardization Inspection Report . The Standardization Officer determines whether the Candidate properly identified and categorized violative conditions on each of the "*Interventions/Risk Factors*" and the "*Good Retail Practices* (GRPs)" portions of the VDH Standardization Inspection Report. The Standardization Officer may mark an item "S" to reflect a disagreement in a case where the Candidate has the opportunity to make an observation or take a measurement and fails to do so, and intervention by the Standardization Officer would alert the Candidate to the missed opportunity.

<b>Chart 3: Performance Criteria Tally of Disagreements in Each Establishment</b>									
Candidate's Name:					Standardization Officers Name:				
Candidate's Address:		District:		City:		State: Va		Zip:	
Standardization Officers Address:		Agency: VDH		City:		State: Va		Zip:	
Date Started:			Date Completed:						
<b>ESTABLISHMENTS</b>									
<b>Performance Area</b>	1	2	3	4	5	6	7 SSO Only	8 SSO Only	<b>TOTAL</b>
<b>Risk-Based Inspection</b>									
<b>Good Retail Practices</b>									

### **FOODBORNE ILLNESS RISK FACTORS AND INTERVENTIONS:**

To pass this section, the Candidate must achieve an average score of 90 percent (no more than 35 disagreements for 6 establishments or 46 for 8 establishments) with no more than 11 disagreements in any single establishment.

**Step 1.** Determine the number of disagreements per establishment and record it in the chart (Performance Criteria Tally of Disagreements).

- If the disagreements/establishment is  $\leq 12$ , proceed to step 2.
- If the disagreements/establishment is  $\geq 12$ , stop inspections. Candidate fails.

**Step 2.** Total the number of disagreements on Interventions/Risk Factors for all the establishments.

- If the disagreements are  $\leq 35$  for 6 establishments, the candidate passes.
  - If the disagreements are  $> 35$  for 6 establishments, the candidate fails.
- State Standardization Officer (SSO) use:
- If the disagreements are  $\leq 46$  for 8 establishments, the candidate passes.
  - If the disagreements are  $> 46$  for 8 establishments, the candidate fails.

## **GOOD RETAIL PRACTICES SEGMENT:**

To pass this section, the candidate must achieve an average score of 85 percent (no more than 24 disagreements for 6 establishments or 32 disagreements for 8 establishments) and have no more than 5 disagreements on GRPs in any single establishment.

**Step 1.** Determine the number of disagreements per establishment.

- If the disagreements/establishment are  $\leq 5$ , proceed to step 2.
- If the disagreements/establishment are  $> 5$ , stop inspections. Candidate fails.

**Step 2.** Total the number of disagreements on GRPs for all establishments.

- If the disagreements are  $\leq 24$  for 6 establishments, the candidate passes.
  - If the disagreements are  $> 24$  for 6 establishments, the candidate fails.
- State Standardization Officer (SSO) use:
- If the disagreements are  $\leq 32$  for 8 establishments, the candidate passes.
  - If the disagreements are  $> 32$  for 8 establishments, the candidate fails.

**Application of HACCP Principles:** A "satisfactory" score is required to pass.

## **SCORING FORM (EXAMPLE #1)**

**Chart 3a: Sample Performance Criteria Tally of Disagreements in Each Establishment**

**PERFORMANCE CRITERIA TALLY OF DISAGREEMENTS IN EACH ESTABLISHMENT (SAMPLE)**

Candidate's Name: **Jane Smith**

Standardization Officer's Name: **George Harris**

Candidate's Address: **1234 Anywhere Street**

Agency: **VDH**

City: **Nice**

State: **VA**

Zip: **12345**

Standardization Officer's Address: **4321 Somewhere Street**

Agency: **VDH**

City: **Uptown**

State: **VA**

Zip: **20204**

Date Started: 7/12/XX

Date Completed: 7/28/XX

**ESTABLISHMENTS**

Performance Area	1	2	3	4	5	6	7	8	TOTAL
							SSO Only	SSO Only	
<b>Risk-Based Inspection</b>	9	11	5	4	2	2			33
<b>Good Retail Practices</b>	3	2	2	4	3	3			17

In this example, the Candidate passes both the Risk-Based Inspection and the Good Retail Practices portions. The number of disagreements for any one establishment did not exceed the maximum and the total number of disagreements for all the establishments also did not exceed the maximum number.

<b>Chart 3b: Sample Performance Criteria Tally of Disagreements in Each Establishment</b>									
<b>PERFORMANCE CRITERIA TALLY OF DISAGREEMENTS IN EACH ESTABLISHMENT (SAMPLE)</b>									
Candidate's Name: <b>Jane Smith</b>					Standardization Officers Name: <b>George Harris</b>				
Candidate's Address: <b>1234 Anywhere Street</b>	Agency: <b>VDH</b>			City: <b>Nice</b>	State: <b>VA</b>	Zip: <b>12345</b>			
Standardization Officers Address: <b>4321 Somewhere Street</b>	Agency: <b>VDH</b>			City: <b>Uptown</b>	State: <b>VA</b>	Zip: <b>20204</b>			
Date Started: <b>7/12/20XX</b>	Date Completed: <b>7/25/20XX</b>								
<b>ESTABLISHMENTS</b>									
<b>Performance Area</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>	<b>6</b>	<b>7</b> SSO Only	<b>8</b> SSO Only	<b>TOTAL</b>
<b>Risk-Based Inspection</b>	8	10	<b>12</b>						
<b>Good Retail Practices</b>	3	4	4						

Here the Candidate fails the Risk Based Inspection portion of this exercise. The Candidate was close to the maximum number of disagreements for any one establishment in the first two facilities and exceeded this maximum number of disagreements in the third establishment.

### **FINAL SCORING REPORT (Annex 5-2)**

<b>CANDIDATE'S FINAL PERFORMANCE SCORE</b>
--

<b>Candidate's Name:</b>		<b>Title:</b>	
<b>District:</b>		<b>Office Telephone Number:</b>	
<b>Office Address:</b>		<b>City:</b>	<b>State: Va</b> <b>Zip:</b>
<b>Standardization Officers Name:</b>		<b>Standardization Officers Title:</b>	
<b>Agency: VDH</b>	<b>Office Telephone Number:</b>		
<b>Office Address:</b>		<b>City:</b>	<b>State: Va</b> <b>Zip:</b>
<i>Instructions: For the following Performance Areas circle the Level of Agreement.</i>			
<b>PERFORMANCE AREA</b>	<b>LEVEL OF AGREEMENT</b>		
1. FOODBORNE ILLNESS RISK FACTORS AND INTERVENTIONS	PASSES	FAILS	
2. GOOD RETAIL PRACTICES	PASSES	FAILS	
3. APPLICATION OF HACCP PRINCIPLES	SATISFACTORY	UNSATISFACTORY	
a. Process flow Charts	Satisfactory	Unsatisfactory	
b. Risk Control Plan	Satisfactory	Unsatisfactory	
c. Verification of HACCP Plans	Satisfactory	Unsatisfactory	
(Initial Certification only) d. Statement of HACCP Principles	Satisfactory	Unsatisfactory	
4. INSPECTION EQUIPMENT	SATISFACTORY	NEEDS IMPROVEMENT	
5. COMMUNICATION	SATISFACTORY	NEEDS IMPROVEMENT	

**Comments:**

**STANDARDIZATION OFFICER'S NAME: (Print):** \_\_\_\_\_

**NAME (Signature):** \_\_\_\_\_ **Date:** \_\_\_\_\_

## ANNEX 6-1

### CHECKLIST FOR STANDARDIZATION PERFORMANCE AREAS

This Checklist for Standardization Performance Areas is intended as an aid to both the Candidate for standardization and the Standardization Officer. Expectations for each of the five Performance Areas are spelled out to assist the Candidate in preparing for the exercise and to help the Standardization Officer evaluate the performance of the Candidate. Minimum requirements for standardization or re-standardization are provided in Table 2 “Summary of Level of Agreement Required for Each Performance Area.” Results should be discussed at the completion of each standardization inspection to provide feedback to the Candidate before beginning the next inspection. The checklist and comments should be used to help determine whether the Candidate completes standardization/re-standardization (see Table 2) and also to provide feedback to the Candidate about elements of the inspection process that need improvement. Columns may be used to check specific observations of the Candidate’s performance. Only one checklist should be used for the entire exercise and not a separate checklist for each inspection.

### **Performance Area A – Foodborne Illness Risk Factors and Interventions.**

The Candidate shall demonstrate knowledge of current Virginia Food Regulations/FDA Food Code provisions related to Interventions and Foodborne Illness Risk Factors which are most frequently associated with foodborne illness or injury.

Major Performance Criteria (with examples)

- ☐ Completed the Standardization inspection exercise with no more than 11 disagreements out of a total of 59 items in any one food establishment and an average score of 90% for all inspections.
- ☐ Provided the correct Virginia Food Regulation/Food Code provision for Out of Compliance Foodborne Illness Risk Factors and Interventions identified during inspection.
- ☐ Focused inspection on activities associated with Foodborne Illness Risk Factors and Interventions (with specific attention to handwashing, bare hand contact with RTE food, employee health, infested lesions on hands, approved sources, final cooking temperatures, cooling practices, cross contamination, cleaning and sanitization of food-contact surfaces, hot and cold holding, etc.).
- ☐ Verified that applicable Virginia Food Regulations/Food Code Interventions were implemented.
- ☐ Was able to explain the significance of each Foodborne Illness Risk Factor and *Food Code* Intervention.
- ☐ Observed practices, behaviors and procedures.
- ☐ Verified control measures were in place for all Foodborne Illness Risk Factors and *Food Code* Interventions.

### **Performance Area B – Good Retail Practices.** **The Candidate shall demonstrated knowledge**

**of current Virginia Food Regulations/FDA Food Code provisions related to Good Retail Practices and the ability to interpret and apply them.**

Major Performance Criteria (with examples)

- ☐ Completed the Standardization inspection exercise with no more than 5 disagreements out of a total of 27 items in any one food establishment and an average score of 85% for all inspections.
- ☐ Minimized but didn't ignore time and attention spent on facilities, general sanitation, Good Retail Practices.
- ☐ Was able to explain the significance of each Good Retail Practice.
- ☐ Observed practices, behaviors and procedures.

**Performance Area C – Application of HACCP.**

**The Candidate shall demonstrate the ability to verify compliance with an existing HACCP plan and apply HACCP principles in the development of flow charts and risk control plans. In the absence of a HACCP plan, the Candidate shall demonstrate the ability to apply all HACCP principles to the inspection process.**

Major Performance Criteria (with examples).

- ☐ Evaluated an existing HACCP Plan for necessary information, necessary records and compliance with the Plan.
- ☐ Verified that the Plan contained hazards of concern, CCPs, CLs, monitoring procedures, corrective actions, verification procedures and record keeping.
- ☐ Verified a HACCP Plan is available and used for juice packaged on-site, for ROP per 12 VAC 5-421-870/3-502.12, or for variances for smoking for preservation, curing, using food additives, other ROP, shellfish display tanks, custom processing animals, sprouting seeds, or other processing as determined by the RA.
- ☐ Reviewed required letters of guaranty for parasite destruction, intact beef steaks.
- ☐ Identified the food preparation process (no cook step, same day service or complex food preparation) used in the food facility and inspected and developed, as per the direction of the Standard, a process flow diagram to illustrate a designated process (including ingredients, leftovers, CCPs, CLs, etc. with two or fewer errors to Pass.
- ☐ Developed a Risk Control Plan based on an observed Out of Compliance Risk Factor which includes the Risk Factor, Code provision, hazards of concern, CCP, CLs, required monitoring and record keeping and person responsible, corrective action when deviations occur based on the PIC's recommendations, length of RCP, and how and when PIC communicates the results.
- ☐ Observed practices, behaviors and procedures.

**Performance Area D – Inspection Equipment.**



**The Candidate shall be equipped and familiar with inspection equipment essential to each food establishment inspection. During the inspection, the Candidate shall demonstrate knowledge of proper use of essential inspection equipment.**

Major Performance Criteria (with examples)

- ☐ Possessed essential inspection equipment to conduct the standardization inspection (including inspection forms, head cover, calibrated thermocouple, maximum registering thermometer or temperature sensitive tape, chemical test kits/strips, flashlight, and alcohol swabs).
- ☐ Was familiar with the operation of essential inspection equipment list above and optional equipment, if used (such as infrared thermometer or pH meter).
- ☐ Demonstrated proper use of equipment according to the manufacturer's instructions and equipment's capability (such as bi-metallic thermometer, infrared thermometer, temperature sensitive tape, chemical test strips, etc.)

**Performance Area E – Communication.**

**The Candidate shall demonstrate the ability to effectively communicate with the person in charge and explain significant inspection findings to the person in charge at the conclusion of the inspection.**

Major Performance Criteria (with examples)

- ☐ Was able to professionally and effectively communicate with the Person in Charge and employees about the Standardization inspection and food safety issues encountered during the introduction and inspection, to better understand operations and management systems to monitor and control CCPs, to answer questions and provide other resources for needed information, to provide positive feedback if possible, to establish open dialogue, and to conduct menu reviews.
- ☐ Used non-verbal communication techniques to convey information (setting a good example by dress, hair restraint, and demeanor; not working when ill; cleaning and sanitizing temperature measuring devices (TMDs); washing hands when entering the prep area; not contaminating food contact surfaces; using or helping to calibrate a thermometer; overcoming language or communication barriers by using drawings or demonstrations).
- ☐ Explained the public health significance and the contribution to foodborne illness of Out of Compliance Foodborne Illness Risk Factors and the appropriate Interventions and discussed short and long term behavior changes to achieve compliance.

## **TEMPLATE FOR CONDUCTING A RISK-BASED INSPECTION**

A standardization exercise is intended to be a template for regulatory inspections conducted by federal, state, local, and tribal regulatory officials. That is, both a candidate's standardization and a regulatory inspection should contain education/training components and auditing/evaluating components. The focus of both types of inspections should be on the application of Virginia Food Regulations/FDA Food Code provisions related to Foodborne Illness Risk Factors and Interventions associated with foodborne illness but which does not ignore good retail practices. The template below provides suggested inspection activities for both standardization inspections (Stand.) and regulatory inspections (Reg.) based on the five Performance Areas (PA) identified in Subpart 3-102 of the standardization procedure.

Performance Area A – Foodborne Illness Risk Factors and Interventions

Performance Area B – Good Retail Practices

Performance Area C – Application of HACCP Principles

Performance Area D – Inspection Equipment

Performance Area E – Communication

### **1. PREPARING FOR AN INSPECTION**

#### **Activity**

- Contact the food establishment in the work area for permission to conduct each standardization inspection.
- Be aware of Regulations and any local code requirements (time/temperature, consumer advisory, time as public health control, etc.). – Perf. Area A,B
- Calibrate thermocouples and thermometers before the standardization exercise. – Perf. Area D
- Have all essential inspection equipment, appropriate clothing. – Perf. Area D
- Choose facilities that cover risk categories 2-3 as well as a minimum of one facility that serves a highly susceptible population, one that is an ethnic operation and at least one that is an independent full service. – Perf. Area C
- The Standardization Officer should explain expectations to the Candidate: scoring to accomplish standardization, conducting risk-based inspections focused on Foodborne Illness Risk Factors and Interventions but knowledge of GRPs, taking cooking temperatures, taking appropriate corrective actions for all out of control (OOC) Foodborne Illness Risk Factors, doing a Risk Control Plan, doing a flow diagram, explaining the HACCP principles, identifying the Virginia Food Regulations/Food Code provisions for any OOC Foodborne Illness Risk Factors on the inspection report, using appropriate inspection equipment, communicating effectively and conducting an inspection as closely as possible to a real-time regulatory inspection. – Perf. Area E
- Review establishment files, past inspections, repeat violations, etc. before entering when possible.

### **2. INTRODUCTION PRIOR TO INSPECTION**

#### Activity

- Ask to speak to the Person in Charge (PIC) and establish an open dialogue during the inspection. – Perf. Area E
- Show identification and give a business card if possible. – Perf. Area E
- Introduce yourself and request permission to use the facility for a standardization exercise, explaining the purpose (internal training and auditing, promoting national uniformity) and that the inspection is “off the record” with no written record left behind and no records put into the establishment’s file.- Perf. Area E
- Explain that questions will be asked of managers and food employees to better understand the operation’s procedures.- Perf. Area E
- Request corrective actions for all OOC Foodborne Illness Risk Factors and Interventions that contribute to foodborne illness. – Perf. Area C
- Invite the PIC to accompany you if they have time. Otherwise, explain that any major problems will be summarized later before you leave. – Perf. Area E
- If the PIC refuses entry, thank him/her for his/her attention and leave – do not try to convince the PIC to allow the inspection. Document the refusal for a regulatory inspection.

### **3. SET A GOOD EXAMPLE**

#### Activity

- Always wash your hands properly upon entering the work area and anytime when hands may have become contaminated. – Perf. Area E
- Do not work if you are ill yourself. – Perf. Area E
- Do not touch RTE food with your bare hands. – Perf. Area E
- Clean and sanitize your thermocouple probe before taking food temperatures. – Perf.

#### Area D

- Make sure your thermometer is accurate. Offer to calibrate your thermometer along with the facility’s thermometer. – Perf. Area D
- Wear clean clothes, a lab coat (optional) and effective hair restraint. – Perf. Area D
- Do not contaminate food or equipment by setting your clip board down on work surfaces, touching things, etc. – Perf. Area D
- Be courteous and respect the food establishment’s need to carry out their job in a timely fashion. – Perf. Area E

### **4. CONDUCTING A RISK-BASED INSPECTION**

#### Activity

- Assess the level of risk of foodborne illness to the public presented by the food safety practices of the facility. – Perf. Area A
- After identifying which processes are used in the facility (process # 1, 2 &/or 3), focus attention on the CCPs and CLs for that process(s) to reduce the occurrence of Foodborne Illness Risk Factors that contribute to foodborne illness. – Perf. Area C
- Supplement observations by asking questions of the PIC and employees to fully understand food preparation, storage and serving/selling procedures used and the management systems in place to monitor and control the CCPs. – Perf. Area E

- Initiate corrective actions for all “out of compliance” Foodborne Illness Risk Factors identified during the inspection to signal their importance. Short term (immediate correction) and long term (changes in procedures, practices, behaviors, monitoring, record keeping, etc.) should be considered and discussed with the responsible party or PIC. – Perf. Area A
- Minimize but do not ignore time and attention spent on facilities, general sanitation, good retail practices, etc. – Perf. Area A, E
- Conduct a menu or food list review. – Perf. Area A, E
- Focus on verification of Foodborne Illness Risk Factors control measures implemented by the establishment. – Perf. Area A

## **5. INITIAL WALK THROUGH**

### **Activity**

- Ask the PIC what is occurring now – prep, set up, cooling, reheating, cooking, etc.
- Do an initial walk through to familiarize yourself with the layout of the facility (prep area, cook and serve areas, walk-in-coolers, dishwashing areas, storage, etc.) and the activities that are currently occurring. This helps you set priorities and focus the inspection. Do not begin the inspection unless you have an opportunity to record or observe something that may not be present later (i.e., get a final cooking or reheating temperature). – Perf. Area A, B, C
- Identify and prioritize activities that you want to investigate in more detail (deliveries if present, preparation, cooling, reheating, cooking, etc.). – Perf. Area A, B, C
- Ask employees to call you if you are not there when they finish cooking a food product, reheating before hot holding, etc. – Perf. Area E
- Determine which processes (Process HACCP #1, #2 &/or #3) occur in the facility to help you determine which critical control points (and risk factors) should receive focused attention. – Perf. Area C
- Do not be distracted by the PIC trying to “lead” the inspection or by out of compliance GRPs, although notes can be taken as you do the walk through. – Perf. Area B, E

## **6. OBSERVATIONS**

### **Activity**

- Focus on procedural and behavioral aspects of the operation that contribute to foodborne illness. Structures, equipment and utensils, plumbing, repairs and maintenance, cleaning, etc. can easily be observed later in the inspections. – Perf. Area A, C
- Observe when and how handwashing is done. Before starting work? Before donning gloves? After using the restroom? After touching raw meat? After handling dirty dishes before handling clean dishes? – Perf. Area A
- Observe situations where bare hand contact with RTE food may occur such as plating food at the grill or serving line or making sandwiches. – Perf. Area A
- Ask employees who are engaged in food preparation if you can see their hands. Then ask them if they know why you are asking (teaching moment – no infected lesions or uncovered bandages, short, clean nails, no excess jewelry, etc.). – Perf. Area A, E
- Observe products and employees behavior when deliveries are made at the time you are present. – Perf. Area A

- Take final cook temperatures of all raw animal foods served/sold. – Perf. Area A
- Observe or question cooling practices for all intended/unintended leftover PHF (TCS Food). – Perf. Area A, E
- Determine reheating practices if any (method, equipment, T/T), if any for cooled products and commercially prepared products. – Perf. Area A
- Observe product temperatures for hot and cold holding and required criteria for Time as a Public Health Control. – Perf. Area A
- Verify that Interventions are implemented. – Perf. Area A
- Use majority of inspection time observing practices, behaviors and procedures that contribute to Out of Compliance Foodborne Illness Risk Factors. – Perf. Area A

## **7. CORRECTIVE ACTIONS**

### **Activity**

- Request corrective actions for all OOC Foodborne Illness Risk Factors identified during the inspection to reinforce their importance. – Perf. Area A, E
- Explain why the corrective action is needed. – Perf. Area E
- Solicit ideas from the PIC as to how to accomplish the correction and/or offer alternative solutions to the OOC Foodborne Illness Risk Factors . – Perf. Area C, E
- Consider whether this may be an opportunity to do a Risk Control Plan for long term correction. – Perf. Area C
- Verify that each identified corrective action for an OOC risk factor has been accomplished (or initiated if it involves repairs, etc.) before you leave the facility. – Perf. Area C

## **8. COMMUNICATION**

### **Activity**

- Questions, observations, attention will signal inspection priorities to the PIC and management. Focusing on control of Foodborne Illness Risk Factors instead of GRPs will establish this priority in their mind instead of “floors, walls and ceilings.” – Perf. Area A, E
- Communicate non-verbally as well as verbally. Set a good example with your own behavior and actions. – Perf. Area E
- “Teaching Moments” by the Standard or Regulatory Inspector can add substance and value to an inspection. When requesting a corrective action for an OOC Foodborne Illness Risk Factors , the Candidate or Inspector should explain the public health reason and offer alternatives where appropriate for the needed correction. New equipment, procedures, code provisions and interpretations can be explained as they are encountered during a standardization inspection. – Perf. Area E
- To be most effective, short and long term corrective actions should be the operator’s/employee’s idea. When their ideas are inappropriate or they have no ideas, offer options for correction.- Perf. Area A, E
- Provide helpful information to the PIC related to their operation or OOC Foodborne Illness Risk Factors that were observed during the inspection – new code requirements, current food safety issues (allergens, produce safety, employee health, food defense, etc.), websites, health department training, etc.).- Perf. Area A, E

- Share “Best Practices” or good examples of solutions to similar problems you observed elsewhere. – Perf. Area E

## **9. USE OF INSPECTION EQUIPMENT**

### **Activity**

- Have all essential inspection equipment with you including the correct probes for your thermocouple, enough alcohol swabs, appropriate head gear, inspection forms, etc. – Perf. Area D
- Calibrate your thermocouple/thermometers before arriving and beginning the exercise. Then you are confident of your readings and can offer to calibrate yours along with the operator’s during the inspection. – Perf. Area D
- Carefully clean and sanitize your thermocouple probe before use and when changing from raw to RTE foods or from one type of animal food to another. – Perf. Area D
- If you use an IR thermometer, understand its limitations (surface temperatures only, reflections can interfere, etc.) – Perf. Area D
- Do you have a way to verify the effective sanitization of hot water and chemical sanitizing warewashing machines and manual hot water and chemical warewashing equipment (160°F temperature sensitive tapes, maximum-minimum registering thermometers [glass/mercury or digital “lollipop” type], thermocouple thermometer, appropriate chemical test strips for chlorine, iodine and quaternary ammonium sanitizers). – Perf. Area D
- If you use a pH meter or water activity meter, have the appropriate buffer solutions and calibration solutions available to check your own equipment, understand how to use it, how frequently to calibrate it, etc. – Perf. Area D
- Laboratory grade pH strips are available (4 color match) but still give only an approximate pH reading (e.g., 4.0, 5.0, etc.) – Perf. Area D

## **10. HACCP AND RECORD KEEPING**

### **Activity**

- HACCP concepts are used in several different ways during a standardization inspection. The Candidate is expected to know the seven principles of HACCP and be able to complete an exercise involving the evaluation of a HACCP plan. HACCP concepts are also addressed in other ways. – Perf. Area C
- A minimum of one flow chart for a Process #3 (complex food preparation) is to be completed for a process identified during the Standardization exercise with hazard, CCPs and CLs shown. – Perf. Area C
- If the operator has an approved variance (e.g., sushi, curing, smoking (not cooking), use of preservatives, live shellfish tanks, custom animal processing, sprouting seeds, or other preparation method deemed by the regulatory authority to require a variance), review the HACCP plan and records. – Perf. Area A, C
- If ROP is conducted on-site, verify that the necessary records and HACCP plan are available and maintained for 6 months. – Perf. Area A, C

- If freezing for parasite destruction in fish is done, a letter of guaranty that is company and product-specific should be available from the processor or records to show time and temperature used for freezing if done internally should be reviewed. – Perf. Area A, C
- If searing steaks for surface coloration without a consumer advisory, labeling on the container or letter of guaranty from the processor should be available for review. – Perf. Area C
- If Molluscan shellstock are served, review shellfish tags for 90 day retention, chronological order and date last sold marked on the tag. – Perf. Area B

## 11. GENERAL ASPECTS OF AN INSPECTION

### Activity

- Ask the PIC if the operator has a variance for any code provision along with a HACCP plan to support the approved variance request. – Perf. Area C, E
- Ask the PIC questions to determine whether the facility is in compliance with employee health requirements. If they do not appear to be in compliance, use this opportunity to raise their awareness about employee health issues (symptoms, diagnosis, exposure, training, conditional employees, reporting, connection between employee health, handwashing and no bare hand contact with RTE food) and provide resources or sources of information. – Perf. Area A, E
- Ask whether the facility has “specials” not listed on the menu, holiday meals, catering, parties. Also note if they use procedures or equipment not typically used. – Perf. Area E
- Note if there are management systems in place for monitoring and verifying time/temperature control, date marking, hand washing, no bare hand contact with ready-to-eat foods, time as a public health control (if used), recalls, foodborne illness outbreaks, orientation and refresher training, etc. – Perf. Area A, C, E
- Review the menu or menu board before leaving to determine if you saw all necessary operations or asked questions in cases where you were unable to observe the actual preparation. – Perf. Area A, E
- Determine if PIC is familiar with eight major allergens, their symptoms in sensitive individuals and labeling requirements for allergens. – Perf. Area A, B, E
- Observe the general level of sanitation and compliance with GRPs. – Perf. Area B

## 12. EXIT INTERVIEW

### Activity

- If the PIC accompanied you throughout the inspection, there is no need to review the entire inspection again before leaving. A very short review of the OOC Foodborne Illness Risk Factors and corrective actions taken or needed will be sufficient. – Perf. Area C, E
- Discussion of individual GRPs is not usually necessary unless extremely blatant. – Perf. Area B, E
- Have a list of resources available that you can provide to the PIC based on situations and questions encountered during the inspection (websites for the *FDA Food Code*, Operator’s Manual, EEOC Restaurant Guide, Employee Health Handbook, Bad Bug Book, Seafood Hazards Guide, *Interstate Certified Shellfish Shippers List*, Risk Factor Study, etc.). You can also offer to send them information later. – Perf. Area E

- Provide positive reinforce to the PIC for active managerial control, “Best Practices”, innovative methods, etc. that you observed during the inspection. – Perf. Area E
- Ask the PIC if there are any questions he/she would like to ask. – Perf. Area E
- Thank the PIC for his/her assistance and cooperation in the standardization exercise.– Perf. Area E

### **13. “REAL TIME” INSPECTION**

#### **Activity**

- Inspectors doing regulatory inspections often have to work under time and resource constraints that are not considered during a standardization inspection. In order to help the Candidate better understand this transition, one or more standardization inspections should be conducted as closely as possible to a “real time” inspection. – Perf. Area A, B
- The time should be limited to the average time for the type of facility in the jurisdiction, including inspection, write up and exit interview with the emphasis on a risk based inspection and identification and correction of Foodborne Illness Risk Factors. – Perf. Area A, B
- Passing the “Foodborne Illness Risk Factors and Food Code Interventions” portion of the Inspection Report, as noted in 3-302(A) of the Standardization Procedure. – Perf. Area A
- Passing the “Good Retail Practices” portion of the Inspection Report, as noted in 3-302(A) of the Standardization Procedure. – Perf. Area B
- Scoring and discussing with the DSO each skill area in a timely manner. – Perf Area A, B, C and E.

## **Annex 6-3**

# **Division of Food and Environmental Services**





## Field Workbook

---

Candidate: \_\_\_\_\_

District: \_\_\_\_\_

Address: \_\_\_\_\_

City/State/Zip: \_\_\_\_\_

---

**Virginia Department of Health**  
Division of Food and Environmental Services  
109 Governor Street, 5<sup>th</sup> Floor  
Richmond, VA 23219

2013

Candidate: \_\_\_\_\_

Facility		City/State	Date	<i>Standardization Officer</i>	
				RF	GRP
1.					
2.					
3.					
4.					
5.					
6.					
7. SSO Only					
8. SSO Only					

☐ Initial Standardization

☐ Completed all required training and field requirements; reference Section 3-3.

☐ Re-Standardization

☐ Number of continuing education hours: \_\_\_\_\_

## STANDARDIZATION EXERCISE SUMMARY AND CHECK SHEET

The standardization process requires field exercises to include six (6) joint inspections of retail food establishments. Facilities selected for inspection must be comprised of high- and medium-risk facilities, to include one highly susceptible population facility, and one facility with an existing HACCP plan. (Complete VDH Standardization Inspection Report (Annex 2, Section 1, VDH Standardization Procedures for each)

During at least one of the joint inspections, the Candidate will develop a mock Risk Control Plan with the Person in Charge for a critical control point that is out of compliance. (Annex 3, VDH Standardization Procedures)

During the joint inspection of a facility with an existing HACCP plan, the Candidate will conduct a verification of the HACCP plan and complete the HACCP Plan Verification Worksheet and the Verification Summary. (Annex 4, Section 1 and 2, VDH Standardization Procedures)

The Candidate shall complete a flow diagram, with the appropriate CCPs and critical limits for one of the three processes below, to be chosen by the Standardizing Officer.

**Process 2:** Food prepared for same day service – food that is stored, prepared, cooked, and served such as hamburgers, hot vegetables, cooked eggs, and entrees for “special of the day.”

**Process 3:** Complex food preparation – food that is stored, prepared, cooked, cooled, reheated, hot held and served such as soups, sauces, large roasts, chili, taco filling and egg rolls.

Exercise	Date	Facility	Standardizing Officer
HACCP Verification			
Risk Control Plan			
Flow Chart, Process 1			
Flow Chart, Process 2			
Flow Chart, Process 3			
Highly Susceptible Population Facility			

# HACCP PLAN VERIFICATION SUMMARY (Annex 4)

Establishment Name:			Type of Facility:		
Physical Address:			Person in Charge:		
City:		State: Va	Zip:		County:
Insp. Time In:	Insp. Time Out:	Date:	Candidate's Name:		
Agency:		Standardizing Officers Name:	Indicate Person Filling Out Form: ( <i>circle one</i> ) Candidate's Form / Standardizing Officers Form		

Chart 2: HACCP Plan Verification Summary			
HACCP Plan Verification Summary (circle YES or NO)			
	Record #1	Record #2	Record #3
	Today's Date:	2 <sup>nd</sup> Selected Date:	3 <sup>rd</sup> Selected Date:
Required Monitoring Recorded <sup>1</sup>	YES/ NO	YES / NO	YES / NO
Accurate and Consistent <sup>2</sup>	YES / NO	YES / NO	YES /NO
Corrective Action Documented <sup>3</sup>	YES / NO	YES / NO	YES/ NO
Total # of record answers that are in Disagreement with the Standard = _____ (This box for Completion by Standardization Officer only)			

The use of a HACCP plan by a food establishment can be verified through a review of food establishment records and investigating the following information:

4. Does the food establishment's HACCP documentation indicate that required monitoring was recorded on the 3 selected dates? A "YES" answer would indicate that all required monitoring was documented. If any required monitoring was not documented, a "NO" answer would be circled in this section.
5. Does the food establishment's HACCP documentation for the selected dates appear accurate and consistent with other observations? A "YES" answer would indicate that the record appears accurate and consistent. A "NO" answer would indicate that there is inaccurate or inconsistent HACCP documentation.
6. Was corrective action documented in accordance with the HACCP plan when CLs were not met on each of the 3 selected dates? A "YES" answer would indicate that corrective action was documented for each CL not met for each of the 3 selected dates. A "Yes" can also mean that no corrective action was needed. A "NO" answer would indicate any missing or inaccurate documentation of corrective action.

## VDH Standardization Risk Control Plan (Annex 3)

Establishment Name:		Type of Facility:		
Physical Address:		Person in Charge:		
City:		State: Va	Zip:	
Inspection Time In:	Inspection Time Out:	Date:	Inspector's Name:	
Agency:				

**Specific observations noted during inspection:**

---



---



---

**Applicable code violation(s): (Optional)**

---



---



---

**Risk factor to be controlled:**

---



---



---

**Hazard (most common, significant):**

---



---



---

**What must be achieved to gain compliance in the future:**

---



---



---

**How will active managerial control be achieved:**

(Who is responsible for the control, what monitoring and record keeping is required, who is responsible for monitoring and completing records, what corrective actions should be taken when deviations are noted, how long is the plan to continue.)

**How will the results of implementing the RCP be communicated back to the inspector:**

As the person in charge of the \_\_\_\_\_ located at \_\_\_\_\_, I have reviewed, and understand the provisions of this voluntary Risk Control Plan.

\_\_\_\_\_  
(Establishment Manager)

\_\_\_\_\_  
(Date)

\_\_\_\_\_  
(Regulatory Official)

\_\_\_\_\_  
(Date)

# SCORING FORM AND INSTRUCTIONS FOR SCORING AND DETERMINING PERFORMANCE

(Annex 5)

The purpose of the following chart is to tally the disagreement between the Candidate's and the Standardizing Officer's responses on the *VDH Standardization Inspection Report*. The Standardizing Officer determines whether the Candidate properly identified and categorized violative conditions on each of the "Interventions/Risk Factors" and the "Good Retail Practices (GRPs)" portions of the *VDH Standardization Inspection Report*. The Standardizing Officer may mark an item "S" to reflect a disagreement in a case where the Candidate has the opportunity to make an observation or take a measurement and fails to do so, and intervention by the Standardizing Officer would alert the Candidate to the missed opportunity.

<b>PERFORMANCE CRITERIA TALLY OF DISAGREEMENTS IN EACH ESTABLISHMENT</b>									
Candidate's Name:					Standardizing Officer's Name:				
Candidate's Address:	District:	City:			State: Virginia	Zip:			
Standardizing Officer's Address:	District:	City:			State: Virginia	Zip:			
Total Inspection Time:	Date:	Location of Standardization:							
<b>ESTABLISHMENTS</b>									
Performance Area	1	2	3	4	5	6	SSO Only	SSO Only	TOTAL
Risk-Based Inspection									
Good Retail Practices									



## **RISK-BASED INSPECTION:**

To pass this section, the Candidate must achieve an average score of 90 percent (no more than 33 disagreements for all 6 establishments) with no more than 11 disagreements per establishment.

**Step 1.** Determine the number of disagreements per establishment and record it in the chart (Performance Criteria Tally of Disagreements).

- If the disagreements/establishment is  $\leq 12$ , proceed to step 2.
- If the disagreements/establishment is  $\geq 12$ , stop inspections. Candidate fails.

**Step 2.** Total the number of disagreements on Interventions/Risk Factors for all the establishments.

- If the disagreements are  $\leq 35$  for 6 establishments, the Candidate passes.
- If the disagreements are  $> 35$  for 6 establishments, the Candidate fails.

For State Standardization Officer Use (SSO)

- If the disagreements are  $\leq 46$  for 8 establishments, the Candidate passes.
- If the disagreements are  $> 46$  for 8 establishments, the Candidate fails.

## **GOOD RETAIL PRACTICES:**

To pass this section, the Candidate must achieve an average score of 85 percent (no more than 24 disagreements for all 6 establishments) and have no more than 5 disagreements on GRPs per establishment.

**Step 1.** Determine the number of disagreements per establishment.

- If the disagreements/establishment are  $\leq 5$ , proceed to step 2.
- If the disagreements/establishment are  $> 5$ , stop inspections. Candidate fails.

**Step 2.** Total the number of disagreements on GRPs for all establishments.

- If the disagreements are  $\leq 24$  for 6 establishments, the Candidate passes.
- If the disagreements are  $> 24$  for 6 establishments, the Candidate fails.

For State Standardization Officer Use (SSO)

- If the disagreements are  $\leq 32$  for 8 establishments, the Candidate passes.
- If the disagreements are  $> 32$  for 8 establishments, the candidate fails.

**Application of HACCP Principles:** A "satisfactory" score is required to pass.

- Refer to Part 3, Table 2, VDH Standardization Procedures Manual

## CANDIDATE'S FINAL PERFORMANCE SCORE

Candidate's Name:	Title:		
District:	Office Telephone Number:		
Office Address:	City:	Virginia	Zip:
Standardizing Officers Name:	Standardizing Officers Title:		
Agency:	Office Telephone Number:		
Office Address:	City:	Virginia	Zip:

*Instructions: For the following Performance Areas circle the Level of Agreement.*

PERFORMANCE AREA	LEVEL OF AGREEMENT	
1. FOODBORNE ILLNESS RISK FACTORS AND INTERVENTIONS	PASSES	FAILS
2. GOOD RETAIL PRACTICES	PASSES	FAILS
3. APPLICATION OF HACCP PRINCIPLES	SATISFACTORY	UNSATISFACTORY
a. Process flow Charts	Satisfactory	Unsatisfactory
b. Risk Control Plan	Satisfactory	Unsatisfactory
c. Verification of HACCP Plans	Satisfactory	Unsatisfactory
(Initial Certification only) d. Statement of HACCP Principles	Satisfactory	Unsatisfactory
4. INSPECTION EQUIPMENT	SATISFACTORY	NEEDS IMPROVEMENT
5. COMMUNICATION	SATISFACTORY	NEEDS IMPROVEMENT

**Comments:**

**STANDARDIZING OFFICERS NAME: (Print):** \_\_\_\_\_

**NAME (Signature):** \_\_\_\_\_ **Date:** \_\_\_\_\_

## **Annex 6-4 Standardization Inspection Form**

EHS/Standard Name: \_\_\_\_\_ Evaluation # \_\_\_\_\_

Establishment Name: \_\_\_\_\_

Address: \_\_\_\_\_ City/Town: \_\_\_\_\_

Date: \_\_\_\_\_ Time In: \_\_\_\_\_ Time Completed: \_\_\_\_\_

- ☐ Manager Certified?
- ☐ HACCP Plan Required?
- ☐ Does the facility have a HACCP Plan?

Employee Health:

---

---

Notes:

Notes Continued:

## Temperature Recording Tables

### *Cooling*

<i>Item</i>	<i>Time</i>	Temperature	Location

### Cold Holding

<i>Item</i>	<i>Time</i>	Temperature	Location

### Hot Holding

<i>Item</i>	<i>Time</i>	Temperature	Location

### Cooking

<i>Item</i>	<i>Time</i>	Temperature	Location

Standardization Inspection Report					
Establishment Name:			Type of Facility:		
Physical Address:			Person in Charge:		
City:		State: Va	Zip:	County:	
Inspection Time In:	Inspection Time Out:	Date:	Candidate's Name:		
District:	Standardizing Officer's Name:		<b>Indicate Person Filling Out Form:</b> <b>(circle one) Candidate's Form /</b> <b>Standardizing Officer's Form</b>		

### Foodborne Illness Risk Factors

Food from Unsafe Sources  
 Improper Holding Temperatures  
 Poor Personal Hygiene  
 Inadequate Cooking Temperatures  
 Contaminated Equipment/Cross-Contamination

### Interventions

Demonstration of Knowledge  
 Hands as a Vehicle of Contamination  
 Employee Health  
 Time/Temperature Relationships  
 Consumer Advisory

For each item, indicate one of the following for OBSERVATIONAL STATUS:

IN - Item found in compliance  
 OUT - Item found out of compliance

NO - Not observed  
 NA - Not applicable

The Standardizing Officer may mark an item "S" to reflect a disagreement in a case where the Candidate has the opportunity to make an observation or take a measurement and fails to do so, and intervention by the Standardizing Officer would alert the Candidate to the missed opportunity.

### ABBREVIATIONS

"CCP" means Critical Control Point  
 "CL" means Critical Limit  
 "GRP" means Good Retail Practices  
 "HACCP" means Hazard Analysis and Critical Control Point  
 "HSP" means Highly Susceptible Population  
 "ICSSL" means Interstate Certified Shellfish Shippers List  
 "PHF/TCS Food" means Potentially Hazardous Food/Time/Temperature Control for Safety Food  
 "RTE" means Ready-to-Eat

## **FOODBORNE ILLNESS RISK FACTORS AND INTERVENTIONS**

### **Supervision**

STATUS	<b>1. Person in charge present, demonstrates knowledge, and performs duties</b>
IN OUT	<b>A. Assignment – PIC is present</b>
IN OUT	<b>B. Demonstration – Code compliance, certified via testing with accredited Program, or responses to safety questions regarding operation</b>
IN OUT	<b>C. Duties of PIC</b>

### **Employee Health**

IN OUT	<b>2. Management, food employee and conditional employee; Knowledge, responsibilities and reporting</b>
IN OUT	<b>3. Proper use of restriction and exclusion</b>

### **Good Hygienic Practices**

IN OUT NO	<b>4. Proper eating, tasting, drinking, or tobacco use</b>
IN OUT NO	<b>5. No discharge from eyes, nose, and mouth</b>

### **Control of Hands as a Vehicle of Contamination**

IN OUT NO	<b>6. Hands clean &amp; properly washed</b>
IN OUT NA NO	<b>7. No bare hand contact with RTE foods or a pre-approved alternative procedure properly followed</b>
	<b>8. Handwashing sinks properly supplied and accessible</b>
IN OUT	<b>A. Handwashing sinks conveniently located and accessible for employees</b>
IN OUT	<b>B. Handwashing sinks supplied with hand cleanser/sanitary towels/hand drying devices/ signage</b>

### **Approved Source**

**9. Food obtained from approved source**

- |                 |   |
|-----------------|---|
| IN OUT          | A. All food from regulated food processing plants/no home prepared or canned foods/standards for eggs, milk, juice                          |
| IN OUT<br>NA NO | B. All Molluscan shellfish for ICSSL listed sources/no recreationally caught shellfish received or sold/all fish commercially caught/raised |
| IN OUT<br>NA NO | C. Game animals and wild mushrooms approved by regulatory authority   |

IN OUT NA NO	<b>10. Food received at proper temperature</b>
-----------------	--

IN OUT	<b>11. Food in good condition, safe, and unadulterated</b>
--------	--

**12. Required records available: shellstock tags, parasite destruction**

- |                 |  |
|-----------------|--|
| IN OUT<br>NA NO | A. Written documentation of parasite destruction maintained for 90 days for fish products that are intended for raw or undercooked consumption |
| IN OUT<br>NA NO | B. Shellstock tags maintained for 90 days in chronological order   |

**Protection from Contamination**

**13. Food separated and protected**

- |                 |  |
|-----------------|--|
| IN OUT<br>NA NO | A. Separating raw animal foods from raw RTE food and separating raw animal food from cooked RTE food |
| IN OUT<br>NA NO | B. Raw animal foods separated from each other during storage, preparation, holding, and display      |
| IN OUT          | C. Food protected from environmental contamination   |

IN OUT NA	<b>14. Food-contact surfaces: cleaned and sanitized</b>
--------------	---

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

- |        |   |
|--------|---|
| IN OUT | A. After being served or sold to a consumer, food is not reserved         |
| IN OUT | B. Discarding or reconditioning unsafe, adulterated, or contaminated Food |

**Potentially Hazardous Food(PHF) Time/Temperature Control for Safety(TCS)**



## **16. Proper cooking time & temperatures**

IN OUT NA NO	A. Raw eggs broken on request and prepared for immediate service cooked to 145°F for 15 seconds
IN OUT NA NO	B. Comminuted fish, meat, game animals commercially raised for food and raw eggs not prepared for immediate service and comminuted meat on a child's menu cooked to 155°F for 15 seconds or the time/temperature relationship specified in the chart in the Regulations.
IN OUT NA NO	C. Whole meat roast, including beef, corned beef, lamb, pork, cured pork roasts and formed roasts, cooked to 130°F for 112 minutes or as chart specifies and according to oven parameters per chart
IN OUT NA NO	D. Ratites and injected meats or mechanically tenderized meats cooked to 155°F for 15 seconds or the time/temperature relationship specified in the chart in the Food Code.
IN OUT NA NO	E. Poultry; baluts; stuffed fish/meat/poultry/ratites/pasta or stuffing containing fish, meat, poultry, or ratites; or raw animal foods with a non-continuous cooking process cooked to 165°F for 15 seconds
IN OUT NA NO	F. Wild game animals cooked to 165°F for 15 seconds
IN OUT NA NO	G. Whole-muscle, intact beef steaks cooked to surface temperature of 145°F on top and bottom. Meat surface has a cooked color.
IN OUT NA NO	H. Raw animal foods rotated, stirred, covered, and heated to 165°F in microwave. Food stands for 2 minutes after cooking.
IN OUT NA NO	I. All other raw animal foods cooked to 145°F for 15 seconds

## **17. Proper reheating procedures for hot holding**

IN OUT NA NO	A. PHF/TCS Food that is cooked and cooled on premises is rapidly reheated within 2 hours to 165°F or above for 15 seconds for hot holding
IN OUT NA NO	B. Food reheated to 165°F or above in microwave for hot holding
IN OUT NA NO	C. Commercially processed, RTE food reheated to 135°F or above for hot holding
IN OUT	D. Remaining unsliced portions of roasts reheated for hot holding using

NA NO minimum over parameters

### **18. Proper cooling time & temperatures**

IN OUT A. Cooked PHF/TCS Food cooled from 135°F to 70°F  
NA NO within 2 hours and from 135°F to 41°F or below in 6 hours

IN OUT B. PHF/TCS Food prepared from ambient temperature and/or pre-chilled  
NA NO ingredients) cooled to 41°F or below in 4 hours

IN OUT C. Foods (milk/shellfish) received at a temperature according to law  
NA NO cooled to 41°F or below in 4 hours

IN OUT D. Immediately upon receiving, eggs placed under refrigeration that  
NA NO maintains ambient air temperature of 45°F

### **19. Proper hot holding temperatures**

IN OUT A. PHF/TCS Food maintained at 135°F or above, except during  
NA NO preparation, cooking, or cooling, or when time is used as a public health control

IN OUT B. Roasts held at a temperature of 130°F or above  
NA NO

### **20. Proper cold holding temperatures**

IN OUT A. TCS Food maintained at 41°F or below, except during preparation,  
NA cooking, cooling, or when time is used as a public health control

IN OUT B. Untreated eggs stored in 45°F ambient air temperature  
NA NO

### **21. Proper date marking & disposition**

IN OUT A. Date marking for RTE, PHF/TCS Food prepared on-site or opened  
NA NO commercial container held for more than 24 hours

IN OUT B. Discarding RTE, PHF/TCS Food prepared on-site or opened  
NA NO commercial container held at 41°F for  $\leq 7$  days

IN OUT **22. Time as a public health control: procedures & records**  
NA NO

### **Consumer Advisory**

IN OUT **23. Consumer advisory provided for raw or undercooked foods**  
NA

### **Highly Susceptible Populations**

**24. Pasteurized foods used; prohibited foods not offered**

IN OUT  
NA

A. Prepackaged juice/beverage containing juice with a warning label [21 CFR, Section 101.17(g)] not served

IN OUT  
NA

B. Using pasteurized eggs in recipes if eggs are to be undercooked; or are combined unless: cooked to order & immediately served; used immediately before baking and thoroughly cooked; or prepared under a HACCP plan controlling *Salmonella* Enteritidis

IN OUT  
NA

C. Raw or partially cooked animal food and raw seed sprouts not served

IN OUT  
NA

D. Foods not re-served under certain conditions

**Food/Color Additives and Toxic Substances**

IN OUT  
NA

**25. Food additives: approved and properly used**

**26. Toxic substances properly identified, stored, and used**

IN OUT

A. Poisonous or toxic materials, chemicals, lubricants, pesticides, medicines, first aid supplies, and other personal care items properly identified, stored, and used

IN OUT  
NA

B. Poisonous or toxic materials held for retail sale properly stored

**Conformance with Approved Procedures**

**27. Compliance with variance, specialized process, ROP Criteria & HACCP plan**

IN OUT  
NA

A. Reduced Oxygen Packaging (ROP) as specified in 12 VAC 50421 870/3-502.12 permitted without a variance under certain specified conditions in accordance with a required HACCP plan.

IN OUT  
NA

B. Operating in accordance with approved variance and/or HACCP plan when required

IN OUT  
NA

C. When packaged in a food establishment, juice is treated under a HACCP plan to reduce pathogens or labeled as specified in the Regulations

Score: \_\_\_\_\_

**GOOD RETAIL PRACTICES (GRPs)**

### **Safe Food and Water**

- |              |  |
|--------------|--|
| IN OUT       | 28. Pasteurized eggs used where required                 |
| IN OUT       | 29. Water and ice from approved source                   |
| IN OUT<br>NA | 30. Variance obtained for specialized processing methods |

### **Food Temperature Control**

- |                   |   |
|-------------------|---|
| IN OUT<br>control | 31. Proper cooling methods used; adequate equipment for temperature |
| IN OUT<br>NA NO   | 32. Plant food properly cooked for hot holding                      |
| IN OUT<br>NA NO   | 33. Approved thawing methods used                                   |
| IN OUT            | 34. Thermometers provided & accurate                                |

### **Food Identification**

- |        |   |
|--------|---|
| IN OUT | 35. Food properly labeled; original container<br>Prevention of Food Contamination |
|--------|---|

### **Prevention of Food Contamination**

- |        |  |
|--------|--|
| IN OUT | 36. Insects, rodents, & animals not present/outer openings protected   |
| IN OUT | 37. Contamination prevented during food preparation, storage & Display |
| IN OUT | 38. Personal cleanliness   |
| IN OUT | 39. Wiping cloths: properly used & stored                              |
| IN OUT | 40. Washing fruits & vegetables  |

### **Proper Use of Utensils**

- |        |   |
|--------|---|
| IN OUT | 41. In-use utensils: properly stored                                |
| IN OUT | 42. Utensils, equipment & linens: properly stored, dried, & handled |
| IN OUT | 43. Single-use/single-service articles: properly stored & used      |
| IN OUT | 44. Gloves used properly  |

**Utensils, Equipment and Vending**

- |        |  |
|--------|--|
| IN OUT | 45. Food & non-food contact surfaces cleanable, properly designed, constructed, & used |
| IN OUT | 46. Warewashing facilities: installed, maintained, & used; test strips                 |
| IN OUT | 47. Non-food contact surfaces clean  |

**Physical Facilities**

- |        |  |
|--------|--|
| IN OUT | 48. Hot & cold water available; adequate pressure                |
| IN OUT | 49. Plumbing installed; proper backflow devices                  |
| IN OUT | 50. Sewage & waste water properly disposed                       |
| IN OUT | 51. Toilet facilities: properly constructed, supplied, & cleaned |
| IN OUT | 52. Garbage & refuse properly disposed; facilities maintained    |
| IN OUT | 53. Physical facilities installed, maintained, & clean           |
| IN OUT | 54. Adequate ventilation & lighting; designated areas used       |

**Score:** \_\_\_\_\_