BOH Forms: #20 Risk-Based Food Inspections SOG

Board of Health and Local Health Department Standard Operating Procedures (SOP)

This ***Checklist*** highlights many of the permitting requirements for regulated Massachusetts Food Establishments. The checklist is designed to be used in tandem with the ***MA Food Code. Remember: BOH always has the final say on requirements.***

❒ 5 Foodborne Illness Risk Factors

- FOOD FROM UNSAFE SOURCES/RECEIVING TEMPS
- INADEQUATE COOKING TEMPERATURES
- IMPROPER HOLDING TEMPERATURES
- CONTAMINATED EQUIPMENT
- POOR PERSONAL HYGIENE

❒ Active Managerial Control

- FOOD CODE INTERVENTIONS
- DEMONSTRATION OF KNOWLEDGE
- IMPLEMENTATION OF EMPLOYEE HEALTH POLICIES
- HANDS AS A VEHICLE OF CONTAMINATION
- TIME/TEMPERATURE RELATIONSHIPS
- CONSUMER ADVISORIES

❒ Before the Inspection

❒ Review Food Establishment (FE) File

- ☐ ***Application*** - what type of operation; risk factors, menu, facility, items to check out such as recycling of FOG (Fats, Oils, Grease); approved water/wastewater
- ☐ ***Previous Inspections*** - repeat violations show a flaw in process/procedures
- ☐ ***Complaints/Violations*** - multiple complaints show a managerial control problem
- ☐ ***Plans*** - any plans on file (food processes, emergencies, etc.)
- ☐ ***Permit*** - make inspection access a condition of the permit
- ☐ ***Infection Control Plans*** – in 2020 this includes COVID-19 Emergency Operation Plans

❒ Inspection Preparations

- ☐ **Equipment Kit**
  - Calibrated Thermometers, including thermocouple
  - Chemical test kits for different sanitizer types
  - Heat-sensitive tape or maximum registering thermometer
  - Flashlight
  - Inspection Forms and Inspection Guides
  - Pencil and/or tablet
- ☐ **Replace batteries and supplies**
- ☐ **Wear clean, appropriate attire** (hair covering/hat; clean outer clothing)
- ☐ **Wellness** – model good behavior (no coughing/sneezing even for allergies)

❒ Note Type of Inspection Scheduled

- ☐ ***Pre-Operation*** – usually is scheduled final inspection prior to opening
- ☐ ***Routine*** – schedule at variable hours of operation; usually 2/year
- ☐ ***Follow up/Re-inspection*** – depends on violation, usually within 1 to 10 days.
- ☐ ***HACCP*/Variances** – Review/monitor special operations
- ☐ ***Complaint*** – investigate within 24 hours for critical items; 5 days for others
- ☐ ***Residential Kitchen*** –only foods that don't require refrigeration; test well water
- ☐ ***Remote/Virtual Inspection*** – to review plans, policies, procedures before, after or between onsite inspections.

❒ Classify Food Establishment (FE) by Risk and Schedule Inspection according to Risks

[Type 1 is low-risk, 1/yr; Type 2 is medium-risk 1-2/yr; Type 3: full-service restaurants 2+/yr; Type 4: High-Risk Pop. 3+/yr]

- ☐ **Highly Susceptible Populations:** young, old, immune compromised
- ☐ **Special processes**: sushi, low oxygen, etc.
- ☐ **Repeat critical violations/complaints**
- ☐ **Large Numbers served:** (greater potential for risks)
- ☐ **Food prepared in advance or transported to other facilities**
- ☐ **Uneven/inconvenient workflow, equipment, facility**
- ☐ **Menu and Types of Processing** (High risk foods, complicated cooking/cooling, special processing, # times food passes through danger zone, etc.)

❒ Starting the Inspection: Conducting a Risk-Based Inspection

❒ *Notes on Good Inspection Practices*

- ☐ *Focus the Inspection on high risk factors*
- ☐ *Lead by example*
- ☐ *Conduct the Inspections at variable times*
- ☐ *Wash hands before entering food prep area; observe set up and use*
- ☐ *Look for dry sink, paper towels in garbage, accessibility of sink and soap*
- ☐ *Sanitize thermometers/thermocouples before/after each use*
- ☐ *Don't touch RTE food (use gloves) or cross contaminate (clean between)*
- ☐ *Take photos of critical violations or best practice violations*

❒ Entering the Food Establishment

A. Note Outside Building Concerns

- ☐ Leaking roof, drainage, access
- ☐ Garbage, pests
- ☐ Proper Lighting
- ☐ Posted license, certifications and last inspection report

B. Introduction and Permission to Inspect

- ☐ **Show ID to PIC**
  Script: "*I am the Food Inspector/Agent for (Town). Here is my card/ID."*
- ☐ **Request access**:
  Script: "*I am here to do a (Type) Inspection today. I will need to have access to every area of your Food Establishment. Can we get started with a review of your permit?"* You can inspect/observe any areas open to the public without permission

C. Opening Dialogue: Assess Degree of Managerial Control
(Away from main workflow if possible)

- ☐ Permit
- ☐ Food Protection Manager current certification – (valid for 5 years)
- ☐ Postings (Choke Saver, Allergen Awareness, Consumer Warnings, TIPS, etc.)
- ☐ Menu and Special Processes
- ☐ Previous Inspection Reports
- ☐ Policies and Procedures (ill employees, emergencies, etc.)

D. Conduct a Quick Walk Through

- ☐ Food Prep/Handling
- ☐ Cooking/Cooling/Reheating: (Return to monitor process/temps)
- ☐ Note general cleanliness (black light shows spilled food as well as rodent urine)
- ☐ Note handwash sink use: pump soap, paper towels, warm potable water, access, dry

❒ Assessing Active Managerial Control of Foodborne Illness Risk Factors

1. **Demonstration of Knowledge:** PIC should demonstrate competency
   - ☐ Implementation of Employee Health Policies

- Hands as a Vehicle of Contamination
- Time/Temperature Relationships
- Consumer Advisories
- Special Processes

2. **Assess Safe Sources and Receiving Temperatures**
   - Game/Wild Mushrooms
   - Raw fish for raw consumption – most must be frozen/flash frozen at -4F for 7 days
   - Shellfish: Shell stock tags retained for 90 days in chronological order
   - Juice and Milk Products
   - Examine for evidence of temperature abuse (large ice crystals in frozen foods)
   - Examine delivery truck and products for potential cross contamination
   - Review receiving logs, product labels and tags
   - Examine package integrity upon delivery
3. **Assess Contaminated Equipment and Potential for Cross-Contamination**
   - Storing raw foods above cooked
   - Reserving food from other customers such as bread
   - Bare hand contact with ready to eat foods
   - Contaminated ice (mold grows in ice machines; ice scoops stored in ice bin)
   - Combining batches/leftovers with new unless reheated together
   - Reusing utensils without sanitizing
   - Storing chemicals in old food containers; near food, area not labeled
   - Prep sink cleanliness; no sponges
4. **Assess Cooking Temperatures**
   - Temperatures checked every 4 hrs; must reheat in 2 hrs w/out variance
   - 135/140˚F for commercial sealed/packaged cooked foods for hot holding
   - 135˚F: cooked fruits and vegetables for hot holding; 15 seconds
   - 145˚F: eggs prepared for immediate service, fish, single pieces of meat; 15 seconds
   - 155˚F: comminuted meats, ratites, pooled eggs or for hot holding; 15 seconds
   - 165˚F: poultry, comminuted poultry, stuffed meats; 3 minutes
   - 165˚F: microwave and stand for 2 minutes
   - Don't reheat on steam table (Hot Hold at 135/140˚F after heating w/in 2 hours to 165˚F)
5. **Assess Holding Time and Temperatures and Date Marking**
   - Danger zone for FDA 2013 is 41˚F – 135˚F; for MA it is 41 ˚F – 140˚F)
   - Hot foods at 135/140˚F can be held indefinitely, but will lose quality
   - Corrective Action: reheat 1 time to 165˚F for 15 seconds within 2 hours, hold 135/140˚F
   - Cold RTE Foods below 41˚F in labeled, discard opened containers after 7 days
   - Date mark all onsite prepared RTE foods held for more than 24 hours; maximum 7 days
   - How long before the food will be served? Will the food be as leftovers?
   - **Time as Public Health Control:** (not used for susceptible populations; plan must be approved by BOH Items **must be labeled** if using time as a control)
     - 2 HRS: Special populations up to 2 hours; discard
     - 4 HRS: Hot Foods out of temperature control; discard
     - 6 HRS: Cold RTE foods out of temperature control, discard
6. **Assess Reheating for Hot Holding**
   - Inquire what the history is of hot-held foods
   - Ensure it is reheated quickly (reheating in crock pots/steam tables is not acceptable)
   - Must use calibrated probe thermometer for cooking/holding temperatures
   - Use of infrared only suitable for general monitoring
   - Reheating won't kill all pathogens (some bacteria form spores/toxins survive cooking)
7. **Assess Cooling**
   - Ask the food employees and managers questions about cooling procedures in place.

- ☐ Cooling in wide/shallow containers, lightly covered, or ice
- ☐ Food from 135˚F/140˚F to 70˚F within 2 hrs and from 70˚F to 41˚F within a total of 6 hrs
- ☐ Food at room temp cooled from 70˚F to 41˚F within 4 hours, store
- ☐ Corrective Action: reheat 1 time to 165˚F for 15 seconds within 2 hours, then cool

8. **Assess Personal Hygiene, Hands as a Vehicle of Contamination, and Proper Implementation of Employee Health Policies**
   - ☐ Employee health policy- what is policy? Is it written?
   - ☐ Pay special attention to hands as vehicle to contamination
   - ☐ No Eating, drinking, smoking in food prep area
   - ☐ No bare hand contact with RTE foods
   - ☐ Handwashing sinks not used properly
   - ☐ Dirty clothing, fingernails, arms
   - ☐ Beards and Hair coverings
   - ☐ Personal habits (dripping sweat/blood, scratching, touching face/hair/mouth, hygiene)
   - ☐ Illness (coughing, sneezing, diarrhea, open sores, bloody nose, etc.)
   - ☐ Heavy rings/jewelry that may have food contact (plain wedding ring excepted)
   - ☐ Accessible, clean, equipped toilets with proper handwashing/signs
9. **Assess Compliance with Approved Procedures**
   - ☐ Risk Control Plan
   - ☐ HACCP Plans
   - ☐ Written BOH Variances
10. **Assess Special Requirements Related to Highly Susceptible Populations (HSP)**
    - ☐ Additional requirement in Part 3-8 of Food Code.
    - ☐ Inspect during preparation, service or other active times
11. **Assess Labeling, Storage and Use of Poison and Toxic Chemicals**
    - ☐ Store chemicals separate from food
    - ☐ Ensure clearly labeled
    - ☐ Ensure solutions containing toxic materials are discarded in service sink to prevent contamination of food-contact surfaces.
    - ☐ Contaminated food should be discarded immediately
12. **Assess Compliance with Consumer Advisories/ Chokesaver**
13. **Evaluating Basic Sanitation and Facilities (Good Retail Practices)**
    - ☐ **Air Gaps/Backflow:** 2x diameter of the water supply inlet or have back siphon prevention
    - ☐ **Food Storage**: covered/contained off floor and away from wall 6", unless containers are waterproof
    - ☐ **Chemical Storage:** separate and labeled
    - ☐ **Grease Traps/Sewerage**: cleaned regularly and functioning adequately
    - ☐ **Water Pressure:** for warewashing ((5-30 psi)
    - ☐ **Water Temps:** Handwash: 100˚F; Warewashing: 130 F; Sanitizing: 180 F
    - ☐ **Allergen Awareness and Choke Saver training**
    - ☐ **Freshness/Quality:** Freshness and quality are not regulated, but are signs of other practices that might make food unsuitable for consumption. First in First Out standard
    - ☐ **Water Activity (Aw)** general indication of how much water is available to pathogens in food. Lower levels of moisture (< 0.85 Aw)
    - ☐ **Water storage:** Restroom/food: 7 gal/per person/day; Food only: 2 gal/per meal served
    - ☐ **Cleanup of vomit/feces**: Who cleans it, what chemicals and supplies used
    - ☐ **Cleaning and Disinfection of Facility**: Cleaning Schedule and Staff assigned to disinfection.
    - ☐ **Sanitizers:**
      - Bleach – 50 ppm or mg/l @75˚F for 7 seconds
      - Quaternary ammonia – follow directions for 30 seconds
      - Iodine – follow direction for 30 seconds
    - ☐ **Integrated Pest Management** - Rodents/pest activity (black light might help)

- Inspection for pests and identification of pests
- Sanitation program for the entire facility
- Application of 2 or more pest management procedures
- Use of pesticide and evaluation/follow-up inspection

❒ COVID-19 and Other Enhanced Infection Control Plans

1. Infection Control Plan
2. Staff Training on Infection Control Plan and Personal Protection Precautions
3. Cleaning and Disinfecting Plan
4. More handwashing stations, handwashing and the use of hand sanitizers pumps.
5. Healthcare Policy that includes staying home when ill and reporting suspected infections to the Board of Health.
6. More reminder signage for disease symptoms, protection precautions and handwashing.
7. Personal Protection Precautions Policies including masks, social distancing, handwashing, gloves, cough etiquette.

❒ Closing Conference

- ☐ You must observe the violation – can't be hearsay or owner's records unless failing to keep adequate. records is the violation. "See it to Cite it."
- ☐ Data may be used to assess violations such as disease reports linked to the establishment.
- ☐ Document onsite/immediate corrections taken on inspection form.
- ☐ **RED**/critical items are priority (immediate correction or up to 10 days).
- ☐ Request plans for correcting non-critical violations (90 days to complete).
- ☐ Plans for preventing violations – Develop Risk Control Plans or HACCP.
- ☐ Provide educational materials/links.
- ☐ Both PIC and Inspector Sign Inspection Form.
- ☐ Give copy of inspection form to PIC by printing, copying or emailing.
- ☐ You may also possibly require the following from the PIC, depending on issues:
  - Managerial Control Plans to address/prevent repeat violations; require a written improvement plan.
  - Change of Equipment Layout Proposal; Equipment Specifications.
  - Develop and Implement Recipe/Process Instructions based on HACCP principles.
  - Establish First-In-First-Out (FIFO) Procedures
  - Written Employee Policies and Procedures
  - Development of Standard Operating Procedures (SOPs)/ Risk Control Plans (RCPs)
  - Develop/implement HACCP based Comprehensive Voluntary Food Safety Management Systems

❒ After the Inspection: Compliance/Education/Assurance

❒ Enforcement after Education: Goal is Long-term Compliance of good Retail Food Practices.

(See: BOH Job Aid #28 Risk-Based Food Inspections SOG.)

A. Voluntary Corrections:
- Corrected during inspection
- Plans for other corrections
- Policy changes
- Facility Changes

B. **Managerial Control Changes:** Priority changes for issues pose an immediate danger
- Training; Chemistry/ Biology/Physical risks
- Workflow; Facility; Layout
- Equipment
- Processes and Practices like handwashing and eating/drinking in food prep area
- Employee Health Policy

C. **Involuntary Compliance** results from the following enforcement activities:
- Warning letters
- Re-inspections – can have up to 90 days to correct non-critical violations
- Citations/fines, re- inspection fees, administrative hearings and permit suspensions
- Legal Actions:
  - **Summary Abatement:** (such as closure) – actual, not potential public health risk

- **Agency Hearing:** (repeat violations or violations not abated)
- **Embargo:** entitled to hearing, but can't use food until after hearing
- **Seizure:** (voluntary seizure best – otherwise hold hearing is advised for expensive foods)
- **Injunction/Restraining Order:** Court orders to cease or take actions

D. **Order to Abate/Cease and Desist:** nuisances/code violations; administrative orders to abate issued

ANNEX 1
Inspection Program Support Needed

1. **Adequate Resources**
   - 1 FTE/300 inspections/process reviews
   - Appropriate Equipment
   - Training Time
2. **Continuous Training**
   - ServSafe or other Food Safety Training: required by State Law
   - Mass PHIT Food Safety Training (sometimes offered by the Alliance)
   - Online - ORAU
   - Classroom – Alliance and FDA
   - Field Training/Group Inspections - Alliance
   - Standardization - FDA
   - Continuing Education
3. **Assorted Equipment**

REQUIRED:

- Thermocouple with the appropriate probes for the food being tested
- Alcohol swabs or other suitable equipment for sanitizing probe thermometers
- Chemical test kits for different chemical sanitizer types
- Heat-sensitive tape or maximum registering thermometer
- Flashlight
- Head cover, such as baseball cap, hair net, or equivalent.

OPTIONAL

- Tape Measure
- Black light
- Gloves
- Camera/Cell Phones

POTENTIALLY SHARED EQUIPMENT WITH OTHER TOWNS

- Pressure gauge for in-line pressure of hot water at injection point of ware washing machine (5-30 psi)
- Light meter
- Time/temperature data logger
- pH meter
- Water activity meter
- Computers with or without an electronic inspection system
- Foodborne illness investigation kits/sample collection kit

ANNEX 2

Suggested BOH Written Policies, Procedures and Files

- ❒ Written Forms, Applications, Permits, Policies that meet FDA Voluntary Retail Standards.
  - ❒ Permit Application
  - ❒ Inspection Form
  - ❒ Risk Assessment for each FE
  - ❒ Risk Assignment for each FE
  - ❒ Inspection Frequency Assignment for each FE
  - ❒ Corrective Actions
  - ❒ Variance Requests
  - ❒ Verification and Validation of HACCP Plans
  - ❒ Remote or Virtual Inspections Policies
  - ❒ Enforcement Policies
  - ❒ Infection Control Plan and/or COVID-19 Control Plan
- ❒ Good Database/Filing system
- ❒ Self-Inspection Guides and education materials/links
- ❒ Procedure on what to do if inspection access is denied
  - Remind PIC that unannounced inspections are a condition of permit to operate
  - Hold hearing to rescind permit
  - Obtain Administrative Search warrant from housing court to enter
  - Enforce based on what can be seen in public areas.
  - Charge a fee for return inspections
- ❒ Disposal of Food Policy/Procedure– embargo until hearing if not voluntary
- ❒ Forced Closing/Policy Procedure- hearing if requested
- ❒ Ethics Policy on items like gratuities and favors
- ❒ Safety Policy – leave; call 911
- ❒ Sick Leave policy – no inspections when ill
- ❒ Compliance and Enforcement Policy
- ❒ Verification Process:
  - Document Review
  - Record Review
  - Self-Assessment Review
  - Phone call follow up with or without photos
  - Remote or Virtual Inspection
  - Onsite Verification – inspector must see violation; no hearsay

ANNEX 3

Tips and Best Practices

1. **FOG**: Fats, oils, grease – must be recycled
2. **FATTOM:** Conditions that allow pathogens to grow. Control these to reduce risk of illness

o Food	o Temperature
o Acidity	o Oxygen
o Time	o Moisture

3. **Food Wastes:** must be recycled in large operations
4. **Food in Emergencies:**
   - Food Safety in Emergencies: BCBOHA Temp/Emergency Food Training
   - Handouts: MDPH Food Emergency Preparedness and Response Planning
   - Damaged Food Supplies (flooding, fire, freezing, hot, contaminants)
   - Foodborne Investigation
   - Infection Control – in 2020/21 COVID-19
5. **HACCP:** (**Hazard Analysis and Critical Control Point**) for Foodborne Risk Factors in PHF Process Flow for potentially hazardous foods that require time/temperature controls HACCP. Variance required if used to preserve food.
   - **Reduced Oxygen**
   - **Smoking/curing for food preservation**
   - **Aw – reduced water (variance not needed if Aw 0.91 or less or pH of 4.6 or less; 30 days discard)**
   - **Pickling**
   - **Sprouts**
6. **Good interview techniques include:**
   - Arrive on time (if scheduled) or allowing the person in charge the time to accommodate unscheduled visits
   - Conduct the interview in a quiet and comfortable room
   - Ensure the people present are those who have the knowledge of the establishment, including management staff and/or food handlers
   - Explain the process of a risk-based inspection
   - Ask open-ended questions
   - Be frank, fair and flexible
   - Be a good listener
7. **Special Food Safety Planning:**
   - Food Safety in Emergencies
   - Mobile Food Vendors – Watch for new trainings on this
   - Temporary Food Vendors – BCBOHA Temp Food Training

ANNEX 4

Questions to Ask During an Inspection

RECEIVING

1. Is their food from an approved source?
2. How do they verify that their food is from an approved source?
3. How do they know if the food is at the proper temperature upon receipt?
4. What kind of refusal policy do they have?
5. Do they keep receiving logs (not required)?
6. How do they verify the source of shellfish?
7. How do they maintain certification records for fish that must be frozen to destroy parasites as specified in the Food Code?

COLD STORAGE/COLD HOLDING

1. How do they monitor their refrigeration units to ensure that they are maintaining proper temperature?
2. Is their date marking procedure acceptable?
3. How do their employees know what food is to be used first?
4. Are their storage practices for RTE and raw food acceptable?
5. Where are their thermometers stored? Are they calibrated? How often?
6. What kind of monitoring procedures do they implement for ensuring food is at the proper cold holding temperature?
7. Do they keep temperature logs (not normally required)?

PREPARATION

1. What steps do they use to prevent cross-contamination?
2. What training is given for handwashing?
3. What is their handwashing policy?
4. How do they clean and sanitize their equipment?
5. How do their employees eliminate bare hand contact with RTE food?
6. How do their employees minimize bare hand contact with food that is not RTE?
7. How do they process fruits and vegetables before service?
8. Do they serve a highly susceptible population?

COOKING

1. Does the staff know the correct cooking temperatures?
2. Do they have a consumer advisory?
3. Are cooking temperatures monitored?
4. What corrective actions are taken when food does not reach the proper temperature?
5. Are cooking temperature logs maintained (not required)?

COOLING

1. How is food cooled?
2. How are temperatures monitored?
3. How do they ensure that the prescribed time frames are met?
4. What corrective actions do they take if the time frames are not met?
5. Are cooling records maintained (not required)?

REHEATING

1. What happens to leftovers?
2. How are food products reheated? Stove/oven, microwave, steam table, other?
3. How are temperatures monitored?
4. Are reheating records maintained (not required)?
5. What corrective actions are taken?

HOT HOLDING

1. How are cooked foods held until service?
2. How is temperature controlled? Steam table, stove/oven, hot box, other?
3. How are the temperatures monitored?
4. How are temperature records maintained (not required)?
5. What corrective actions are taken when food is found out of temperature?
6. Is temperature maintained during distribution if food is transported off-site?

TIME ALONE AS A PUBLIC HEALTH CONTROL

1. How long is PHF being held out of temperature before or after cooking?
2. How is the time out of temperature controlled?
3. How is time monitored?
4. How are time records maintained? As specified

ANNEX 5
Corrective Actions

Out-of-Control Procedure	Associated Hazards	Immediate Correction Action(s)	Intervention Strategies for Achieving Long-term Compliance
Bare Hand Contact with RTE Food	Bacteria, Parasites, and Viruses via Fecal-oral Route	Conduct Hazard Analysis. See participant manual for additional guidance.	RCP, Train Employees, SOP/HACCP Development
Cold Holding	Vegetative Bacteria, Toxin-forming and Spore-forming Bacteria, Scrombrotoxin (Finfish)	Conduct Hazard Analysis. See participant manual for additional guidance.	Change Equipment, RCP, Train Employees, Develop SOP/HACCP/Recipe
Contaminated Equipment	Bacteria, Parasites, and Viruses	Clean and Sanitize Equipment; Discard or Reheat RTE Food.	Train Employees, Change Equipment or Layout, Develop SOP
Cooking	Vegetative Bacteria, Parasites, and Possibly Viruses	Continue Cooking to Proper Temperature.	Change Equipment, RCP, Train Employees, Develop SOP/HACCP/Recipe
Cooling	Toxin-forming and Spore-forming Bacteria	Conduct Hazard Analysis. See participant manual for additional guidance.	Change Equipment, RCP, Train Employees, Develop SOP/HACCP/Recipe
Cross-Contamination of RTE Foods with Raw Animal Foods	Bacteria, Parasites, and Possibly Viruses	Discard or Reheat RTE Food.	Change Equipment Layout, RCP, Train Employees, Develop SOP/HACCP/Recipe
Food Source/ Sound Condition	Bacteria/Parasites/ Viruses/Scombrotoxin/ Ciguatera Toxin	Reject or Discard.	Change Buyer Specifications, Train Employees
Freezing to Control Parasites	Parasites	Freeze Immediately; Discard; or Cook.	Change Buyer Specifications, RCP, Develop SOP/HACCP/Recipe, Change Equipment, Train Employees
Handwashing	Bacteria, Viruses, and Parasites	Wash Hands Immediately; Conduct Hazard Analysis. See participant manual for additional guidance.	Change Equipment Layout, Train Employees, RCP, Develop SOP/HACCP
Hot Holding	Toxin-forming and Spore-forming Bacteria	Conduct Hazard Analysis. See participant manual for additional guidance.	Change Equipment, RCP, Train Employees, Develop SOP/HACCP/Recipe
Receiving Temperatures	Scombrotoxin, Bacteria	Reject or Discard.	Change Buyer Specifications, Train Employees, Develop SOP/HACCP/Recipe
Reheating for Hot Holding	Vegetative Bacteria; Toxin-forming and Spore-forming Bacteria	Conduct Hazard Analysis. Participant manual for additional guidance.	Change Equipment, RCP, Train Employees, Develop SOP/HACCP/Recipe
COVID-19: Reduce Exposures	COVID-19 Control Plan	Must display self-certification Signage posted.	Require Staff Training Require updates to Plan
Handwashing	Viruses, bacteria, toxins, contaminants	Demonstrate 20 seconds with soap and paper towels Proper Handwashing stations Sanitizer accessibility.	Require Staff Training Require changes to handwash stations Signage to remind staff and patrons to wash hands 20 sec. and frequently.
Masks	COVID-19 Control Plan	Require masks	Update Policy to ensure masks worn
Social Distancing	COVID-19 Control Plan	Close seats, space lines	Engineering Controls; Add barriers, move seats
Employee Health	COVID-19 Control Plan	Train Staff on symptoms; procedures Screen Staff Send Staff Home	Policy Changes Staff Training
Patron Health	COVID-19 Control Plan	Masks, Social Distancing Sanitizer	Engineering Controls & Signage Policy Changes Staff Training
Cleaning and Disinfecting	COVID-19 Control Plan	Staff Training Clean/Disinfect high contact surfaces Close and clean if infections Proper Disinfectants - CDC	Update Plan; Staff Training

Cross Contamination and other Food Handling Practices	COVID-19 Control Plan	Sanitize, Handwashing	Engineering Controls Signage Policy Changes; Staff Training
Air Quality	COVID-19 Control Plan	Open windows; move outside Clean HVAC system; monitor for mold; increase outside air; use HEPA filters	Engineering Controls

ANNEX 6

Food Establishment Risk Levels and Permit Classifications

Risk Based Food Inspection Program

Our number one goal is to protect the public health and protect Berkshire County residents and visitors from foodborne illness. To reach the goal, we focus our inspection efforts on facilities that may present a greater risk based upon various aspects of the food operation including types of food and populations served and number of meals served under less than ideal conditions. This approach is called a Risk-Based Inspection Program.

Although foodborne illness can happen in any food facility, it is more likely to occur where many different kinds of perishable foods are handled and processed. To concentrate our resources where the highest risks of foodborne illness occur, we have designed a risk-based inspection program that adjusts inspection frequency based upon the volume and types of food handling that take place at food establishments within Solano County. A risk assessment analysis is completed for each food establishment upon opening or when there is a change of menu or type of operation. Based upon the results of the analysis the food establishment is assigned to one of three risk categories:

Risk Level 1: One inspection/year minimum

Examples Include: Roadside produce stands, most convenience marts, some taverns, and coffee shops with additional minimal food handling. This risk level is assigned to a permit that allows limited preparation steps of potentially hazardous foods, such as hot dogs, and includes sectioning of melons, heating of individually pre-packaged ready-to-eat foods for immediate service without opening of the package, and preparation of espresso and/or blended drinks. It also includes cold holding of commercially pre-packaged ready-to-eat foods, such as sandwiches, without opening of the package. Risk 1 does not include hot holding of food. Mobile cart operations with espresso are included in this risk category as are mobile trucks with frozen foods or meat. These types of operations are inspected once a year.

Risk Level 2: Two inspections/year minimum

Examples include: Most fast food chain-type facilities, bakeries, donut shops, and convenience stores with some hot food sales. This risk level is assigned to a permit that allows food processing steps such as receiving, storing, preparing, cold holding, and serving potentially hazardous foods. It does not include hot holding of food. It includes limited preparation steps, such as baking bread, frying donuts, and grilling or toasting sandwiches for immediate service. Examples of this type of operation include on-site baking, making smoothies with raw ingredients (fruit, eggs, etc.), opening ready to eat prepackaged foods for heating or service, cooking waffle cones or cake mixes. Grocery stores with pre-packaged raw meat, poultry, or seafood are also included. These operations receive one routine inspection and one educational visit each year with the exception of schools which receive two routine inspections.

Risk Level 3: Three inspections/year minimum

Examples include: Full-service restaurants and supermarkets with food preparation. This risk level is assigned to a permit that allows operations with complex food preparation steps, including thawing, cutting, cooking, cooling, cold holding, reheating, hot holding, and serving of potentially hazardous foods. It includes all

operations that provide cooking or hot holding of foods, including meat and seafood markets and mobile trucks. These operations receive two routine inspections and one educational visit each year.

Risk Level 4: Four inspections/year or as needed

Examples include: Hospitals, preschools, nursing homes and other institutions serving highly susceptible populations like the elderly, those in poor health, obese, low income, etc. Also include Retail Food with special processes like smoking reduced oxygen to extend shelf-life where HACCP plans are required., curing or

Why implement a risk-based food inspection program?

Our goal is to minimize foodborne illness by inspecting those establishments that pose the greatest risk and helping them reduce risks through education and enforcement. The U.S. Food and Drug Administration recommends that all retail food inspection programs assign the frequency of inspections based on the food safety risks at each establishment. Solano County's Risk-Based Inspection Program was created using the U.S. Food and Drug Administration's recommendations and guidelines.

How will my business benefit from this service?

All food establishments will benefit from this program. Facilities with the highest risk will receive more frequent contact with our environmental health specialist for both inspections and consultations. Medium risk facilities will receive needed contact for verification of compliance. Low risk facilities will benefit by receiving only the necessary number of inspections each year, and a reduced annual fee resulting from our shift in resources.

Will a high-risk establishment receive the same type of inspection as a low-risk establishment?

A high-risk establishment, like a full-service restaurant will receive a complete hazard analysis inspection, which will identify critical points in the food preparation process where food could be mishandled or contaminated. Since a low-risk establishment, like a convenience store typically does not handle unpackaged foods, the inspection will focus mainly on food source, storage, and general cleanliness.

If I were to expand or reduce my food menu, will my establishment need to be re-assigned to a different risk category?

Changing your menu or expanding or reducing your food operation may result in a change of your risk category. If you need assistance in identifying the risk of your current or proposed food operation, please contact your environmental health specialist at (707) 784-6765.

What can I do if my food establishment is assigned to an incorrect risk category?

If you feel your facility has been incorrectly assessed, please call your district environmental health specialist who will review your food operational risk.

Risk Category	Food Illness Risk Factors to Consider	COVID-19 (CV) Risk Factors	Inspection Frequency
#1: No Cook **Low** COVID-19 Risk	**Low Risk, No Cook Foods:** **Convenience Stores:** hot dog carts, and coffee shops. **Pre-packaged**, non-potentially hazardous foods (non-time/temperature control for safety (TCS) foods). **Non-potentially Hazardous** foods (non-TCS foods); coffee. **Heat only commercially processed**, potentially hazardous foods (TCS foods) for hot holding. No cooling of potentially hazardous foods (TCS foods). **Good Managerial Control:** Category 2 that have shown through historical documentation to have achieved active managerial control of foodborne illness risk factors. **No Variances:**	• Fewer People • No Waiters • Pre-packaged • Limited Self-service • Good CV Practices • Takeout • Delivery • History of Non-Compliance	1/year or as needed. CV: May use self or remote assessment.
#2: Limited Cooking	**Medium Risk, Limited Cooking** **Retail food stores:** schools not serving a highly susceptible population, and quick service operations.	• Housing & Food • Volunteers • Outside Service	2/year CV: May use self or

Medium COVID-19 Risk	**Limited menu:** Most products are prepared/cooked and served immediately. May involve hot and cold holding of potentially hazardous foods (TCS foods) after preparation or cooking. **Limited TCS Foods:** Complex preparation of potentially hazardous foods (TCS foods) requiring cooking, cooling, and reheating for hot holding is limited to only a few potentially hazardous foods (TCS foods). **Good Managerial Control:** Category 3 & 4 that have shown through historical documentation to have achieved active managerial control of foodborne illness risk factors. **Newly Permitted:** New Category 1 until history of active managerial control of risk factors is achieved and documented.	• History of Non-Compliance	remote assessment.
#3 Full Cooking **High** COVID-19 Risk	**Higher Risk, Full Cooking** **Full-Service Restaurant:** Extensive menu and handling of raw ingredients. **Complex Preparation**: cooking, cooling, and reheating for hot holding involves many potentially hazardous foods (TCS foods). **Variety of Processes:** require hot and cold holding of potentially hazardous food (TCS food). **Raw Animal Foods:** **Good Managerial Controls**: Category 4 that have shown through historical documentation to have achieved active managerial control of foodborne illness risk factors. **Newly Permitted**: New Category 2 until history of active managerial control of risk factors is achieved and documented.	• Hot/Cold Bars • Large Groups • Inside Service • History of Non-Compliance	3/year CV: May use self or remote assessment.
4. HACCP Plan required **Very High COVID-19**	**Highest Risk** **Institutions**: preschools, hospitals, nursing homes **Retail Food Processing** or special processes (smoking, curing, reduced oxygen to extend shelf-life) **Highly Susceptible Population:** Elderly, Black, Poor Health, Obese, Hypertension, Low Income.	• At-Risk Groups • Lack of Trained Staff • History of Non-Compliance	3 or 4 per year and as needed

ANNEX 7
Alliance Food Establishment Risk Assignment Policy

Risk Category	Food Illness Risk Factors to Consider	COVID-19 (CV) Risk Factors	Inspection Frequency
#1: No Cook **Low** COVID-19 Risk	**Low Risk, No Food Prep** **Convenience Stores:** hot dog carts, and coffee shops. **Pre-packaged**, non-potentially hazardous foods (non-time/temperature control for safety (TCS) foods). **Non-potentially Hazardous** foods (non-TCS foods); coffee. **Heat only commercially processed**, potentially hazardous foods (TCS foods) for hot holding. No cooling of potentially hazardous foods (TCS foods). **Good Managerial Control:** Category 2 that have shown through historical documentation to have achieved active managerial control of foodborne illness risk factors. **No Variances:**	• Fewer People • No Waiters • Pre-packaged • Limited Self-service • Good CV Practices • Takeout • Delivery • History of Non-Compliance	1/year or as needed. CV: May use self or remote assessment.
#2: Limited Cooking **Medium** COVID-19 Risk	**Medium Risk, Limited Cooking** **Retail food stores:** schools not serving a highly susceptible population, and quick service operations. **Limited menu:** Most products are prepared/cooked and served immediately. May involve hot and cold holding of potentially hazardous foods (TCS foods) after preparation or cooking. **Limited TCS Foods:** Complex preparation of potentially hazardous foods (TCS foods) requiring cooking, cooling, and reheating for hot holding is limited to only a few potentially hazardous foods (TCS foods).	• Housing & Food • Volunteers • Outside Service • History of Non-Compliance	2/year CV: May use self or remote assessment.

	Good Managerial Control: Category 3 & 4 that have shown through historical documentation to have achieved active managerial control of foodborne illness risk factors. **Newly Permitted:** New Category 1 until history of active managerial control of risk factors is achieved and documented.		
#3 Full Cooking **High** COVID-19 Risk	**Higher Risk, Full Cooking** **Full-Service Restaurant:** Extensive menu and handling of raw ingredients. **Complex Preparation**: cooking, cooling, and reheating for hot holding involves many potentially hazardous foods (TCS foods). **Variety of Processes:** require hot and cold holding of potentially hazardous food (TCS food). **Raw Animal Foods:** **Good Managerial Controls**: Category 4 that have shown through historical documentation to have achieved active managerial control of foodborne illness risk factors. **Newly Permitted**: New Category 2 until history of active managerial control of risk factors is achieved and documented.	• Hot/Cold Bars • Large Groups • Inside Service • History of Non-Compliance	3/year CV: May use self or remote assessment.
4. HACCP Plan required **Very High COVID-19**	**Highest Risk** **Institutions**: preschools, hospitals, nursing homes **Retail Food Processing** or special processes (smoking, curing, reduced oxygen to extend shelf-life) **Highly Susceptible Population:** Elderly, Black, Poor Health, Obese, Hypertension, Low Income.	• At-Risk Groups • Lack of Trained Staff • History of Non-Compliance	3 or 4 per year and as needed

ANNEX 8
HACCP Planning Overview

Food/Menu Items:

Process Step	Hazards	CCP (Y/N)	Critical Limits	Monitoring	Corrective Action	Verification	Records
Receive							
Store							
Prepare							
Cook							
Cool							
Reheat							
Hold							
Serve							
Prerequisite							

Process 1: Food Preparation with No Cook Step
Example flow: Receive – Store – Prepare – Hold – Serve
(other food flows are included in this process, but there is no cook step to destroy pathogens)

Process 2: Preparation for Same Day Service
Example flow: Receive – Store – Prepare – Cook – Hold – Serve
(other food flows are included in this process, but there is only one trip through the temperature danger zone)

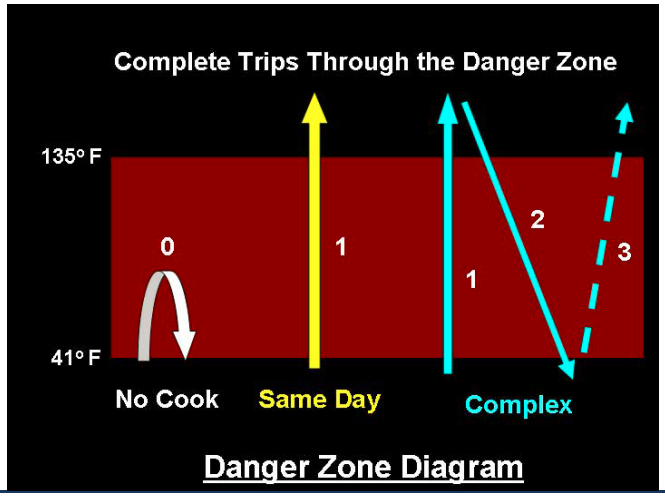
Process 3: Complex Food Preparation
Example flow: Receive – Store – Prepare – Cook – Cool – Reheat – Hot - Hold – Serve
(other food flows are included in this process, but there are always two or more complete trips through the temperature danger zone)
(A hazard is defined by NACMCF as a biological, chemical or physical agent that is **reasonably likely to occur**, and will **cause illness or injury in the absence of its control**. Establishments must consider all **three types of hazards – biological, chemical, and physical** – The hazard analysis and identification of associated control measures three objectives:

1. hazards and associated control measures are identified,
2. modifications (also known as interventions) needed to the initial process or product so that product safety is assured, and
3. basis for determining Critical Control Points (CCP) in Principle 2.

NOTE: cooking doesn't remove toxins or physical contaminants – food must be discarded.

Critical Control Point (CCP): last chance before food is consumed to ensure safety. Usually temperature related, but not always. Could be cross contamination during serving. SOPs and Risk Control Plans (RCP)

RECEIVE (source & temps) – STORE (temps, covered, clean/dry)– PREPARE (temp/time, contamination – COOK (temp/time) – COOL(time, temp 41˚F, covered)– REHEAT (time/temp 165˚F) – HOLD (Time 4 hrs or Temp above/below danger zone) – SERVE (cross contamination. handwashing, bare-hand contact, illness)



ANNEX 9
Sanitizer Specifications

A chlorine solution shall have a minimum temperature based on the concentration and PH of the solution as listed in the following chart;[P]

Concentration Range (MG/L)	**Minimum Temperature** PH 10 or less **°C (°F)**	**Minimum Temperature** PH 8 or less **°C (°F)**
25 – 49	49 (120)	49 (120)
50 – 99	38 (100)	24 (75)
100	13 (55)	13 (55)

(C) Chemical manual or mechanical operations, including the application of SANITIZING chemicals by immersion, manual swabbing, brushing, or pressure spraying methods, using a solution as specified under § 4-501.114. Contact times shall be consistent with those on EPA-registered label use instructions by providing: (1) Except as specified under Subparagraph (C)(2) of this section, a contact time of at least 10 seconds for a chlorine solution specified under ¶ 4-501.114(A),[P]
(2) A contact time of at least 7 seconds for a chlorine solution of 50 MG/L that has a PH of 10 or less and a temperature of at least 38°C (100°F) or a PH of 8 or less and a temperature of at least 24°C (75°F),[P]

(3) A contact time of at least 30 seconds for other chemical SANITIZING solutions,[P] or

(4) A contact time used in relationship with a combination of temperature, concentration, and PH that, when evaluated for efficacy, yields SANITIZATION as defined in ¶ 1-201.10(B).[P]

Chemicals. Chemicals approved as sanitizers for food-contact surfaces in retail/foodservice establishments are chlorine, iodine and quaternary ammonium. Their concentration, contact time, advantages and disadvantages are described in Table 1.

Chemical Sanitizer	Concentration/ Contact Time	Advantages	Disadvantages
Chlorine	50 mg/L in water between 75 °F (24 °C) and 100 °F (38 °C) for 7 seconds	• effective on a wide range of bacteria • not affected by hard water salts • generally inexpensive	• corrosive, irritating to the skin • effectiveness decreases with increasing pH of solution • deteriorates during storage and when exposed to light • dissipates rapidly • loses activity in presence of organic matter
Iodine	Follow manufacturer's use directions; contact time at least 30 seconds	• forms brown color • not affected by hard water salts • less irritating to skin than chlorine • active against a wide range of non-spore-forming bacteria • activity not lost as rapidly as chlorine in presence of organic matter	• bactericidal effectiveness decreases greatly with increase in pH (most active at pH 3.0 and very low acting at pH 7.0) • less effective against bacterial spores and bacteriophages than chlorine • may discolor equipment and surfaces
Quaternary Ammonium Compounds	Follow manufacturer's use directions; contact time at least 30 seconds	• nontoxic, odorless, colorless, noncorrosive, nonirritating • stable in the presence of heat, relatively stable in the presence of organic matter • active over a wide pH range • active against thermoduric organisms	• slow destruction of coliform and psychrophilic organisms • incompatible with anionic detergents and hard-water salts • ineffective against bacteriophages

Table 1. Details for Chemical Sanitizers Commonly Used in Retail/Foodservice Establishments

Factors that influence the efficacy of chemical sanitizers include the following:
• **Concentration.** Too little will result in an inadequate reduction of microorganisms; too much can be toxic, corrosive to equipment and can lead to less cleanability over time.
• **Temperature.** Sanitizers generally work best between 55 °F (13 °C) and 120 °F (49 °C).
• **Contact time.** To kill microorganisms, cleaned items must be in contact with the sanitizer for the manufacturer-recommended time.

Annex 10

Risk Control Plan Guide

Overview:

The purpose of this guide is to help food operators, with the help of their inspector, write a simple yet effective Risk Control Plan.

The use of Risk Control Plans for addressing chronic problems in food service establishments is encouraged. Benefits of a Risk Control Plan include:

- The plan, developed by the operator, allows the operator to consider all of the options and decide what is best for his/her establishment.
- Input from the sanitarian helps to create a team approach to problem solving.
- Creates long-term behavioral changes.
- Restores managerial control over procedures that have the chance for causing foodborne illness.

Definitions:

CDC Identified Risk Factors: The practices or behaviors, which have been identified by the Centers for Disease Control through epidemiological data as being the most prevalent contributing factors of foodborne illness or injury. CDC risk factors include:

- Poor personal hygiene
- Food from unsafe sources
- Inadequate cooking
- Improper holding temperatures
- Contaminated equipment

Food Code Interventions:

a) Demonstration of knowledge.
b) Hands as a vehicle of contamination,
c) Employee health,
d) Time temperature relationships,
e) Consumer advisory.

Hazard: Any biological, physical, or chemical property that may cause an unacceptable consumer health risk.

Risk: The chance or probability for harm to occur.

Risk-based Inspection: An inspection approach focused on identifying significant behaviors and practices associated with the risk factors identified by the CDC and the Food Code interventions.

Risk Control Plan: A mutually agreed upon plan that is written by the management of the food establishment and approved by the sanitarian. The plan describes the establishment's management system for controlling the chance of harm to occur.

Uncontrolled Hazard: An unmanaged source of harm.

When to Initiate a Risk Control Plan

For the most part, the normal inspection and inspection report writing process is sufficient to eliminate Food Code violations. Violations are noted and then corrected. However, some uncontrolled hazards may become continuous or chronic.

The Risk Control Plan process requires management to analyze the problem and propose a solution. Management is required to implement the plan over a given period of time while keeping records to verify the plan is working. Repeating the desired behavior over a given time period creates good long-lasting habits.

Types of hazards normally covered under a Risk Control Plan

Typically, Risk Control Plans address uncontrolled hazards that are **procedural or behavioral** in nature. Virtually any type of procedure needing managerial control ranging from facility/equipment cleaning and maintenance, equipment monitoring, time/temperature compliance, food handling, employee hygiene, etc. can benefit from a Risk Control Plan.

One-time actions to fix a problem such as the installation of a vacuum breaker on a hose bib or the installation of a ventilation hood over a piece of cooking equipment are generally addressed by other means.

Elements of a Risk Control Plan

A Risk Control Plan must address:

- The hazard to be controlled
- How the hazard will be controlled
- Who is responsible for control?
- What are the critical limits?
- What monitoring, corrective actions, and record keeping are required
- The corrective action that will be taken should the critical limit not be met.
- The agreed time frame for correction
- How the results will be communicated to the sanitarian

Sample Risk Control Plan

A Risk Control Plan does not have to be written using any special form. This guide includes an example of a form for those that wish to use it, and a guide for completing the attached Risk Control Plan :

DESCRIBE THE VIOLATION (RISK FACTOR) / FOOD CODE SECTION NUMBER: (this is to be filled out by the inspector)

- This is a brief statement of the problem. For example, “Hamburgers are being cooked to 130 degrees F.” State the code number of the violation observed. Why is this violation a food safety hazard?

The following questions should be answered by the person-in-charge (PIC) in the Risk Control Plan. Assistance can be provided by the inspector.

DESCRIBE THE PROBLEM. WHY IS THIS PROBLEM OCCURRING? WHY IS IT DIFFICULT TO CONTROL THIS PROBLEM? (Uncontrolled Process / Hazard examples can be found at the end of the document) The critical limit is the standard for each control measure to be applied for the purpose of eliminating, preventing, or minimizing a hazard. **Example:** The critical limit for cooling chili is to assure the food temperature goes from 140 degrees to 70 degrees within 2 hours, and from 70 degrees to 41 degrees within an additional 4 hours.
(The FDA “Food Spec Sheet” and the “Equipment Spec Sheet” contain a summary of critical limits to control many hazards. The Spec sheets are available on the MDA website.)

Knowing that the standard for food safety is to cool chili to 70 degrees within 2 hours, and to 41 degrees in an additional 4 hours, why is the chili not being cooled properly? Is there a problem with monitoring the process? Is there a lack of proper equipment to allow this standard to be met? What is the **real issue** that exists to prevent this critical step from occurring?

HOW WILL YOU CORRECT THE PROBLEM?

In your facility, what can be done to assure that the chili will be cooled correctly? What are some approved cooling methods? What are some possible alternatives to cooling chili?

WILL STAFF NEED TO BE RE-TRAINED? WHO WILL TRAIN THEM? When you have figured out how to solve your problem, you must make sure that this plan will be followed to assure a long term correction. Who cooks and cools the chili? Do they understand the new process? Have you trained them to
now cool foods properly? Do they understand that this solution is not only for the chili, but for all foods that need to be properly cooled?

HOW WILL THE CORRECTIVE ACTION BE MONITORED?

- WHO WILL MONITOR IT? HOW OFTEN?
  It is important to devise a plan to instruct employees what to do when they observe that the critical limit is not met. Otherwise, the hazard will remain uncontrolled and unsafe food may be served to the public. Many corrective actions are simple. For example, the corrective action to be taken when an employee finds the temperature of a cooked hamburger to be 130 degrees F is "Continue to cook until critical limit is met".

  Other corrective actions may be more complex. The operator, for example, may set a critical limit of 38 degrees F for cooler unit air temperature. There may be a series of corrective actions that he/she might want to take when the limit is exceeded:

  - Employee responsible for monitoring will notify the manager when the air temperature of a refrigerator reaches 41 degrees F
  - The manager will check the temperature setting of the unit. Adjust if necessary.
  - The manager will check the temperature of potentially hazardous food and the unit air temperature within 2 hours.
  - If the critical limit is not met, transfer the potentially hazardous food to another cooler and call the repair service
- **WHO WILL CHECK THAT THE MONITORING WAS DONE?** HOW OFTEN?
  Active Managerial Control is an important component to any risk control plan. Without monitoring, it is impossible to know that food safety issues are being addressed. By putting a plan into place where monitoring occurs at regular intervals, a long term correction can occur.==
- **WHAT WILL BE DONE IF THE CORRECTION IS NOT WORKING** TO CONTROL THE VIOLATION?
  When the person in charge discovers a problem with the correction, a new plan should be developed to promote food safety.
- **HOW WILL YOU COMMUNICATE THE RESULTS TO THE INSPECTOR**? To work toward a long-term correction, a communication plan should be developed with your inspector. Sometimes this is as simple as faxing charts (cooling / cold holding / hot holding / etc.) to your inspector weekly for a couple of months. For more serious violations, your inspector might arrange to stop by the facility (daily, weekly, monthly) to see if assistance can be provided.

The Risk Control Plan should be agreed upon by both the person-in-charge and the inspector, creating a plan for long-term compliance for the violation.

Uncontrolled	Hazard
Food Source	Presence of pathogenic microorganisms, toxins produced by microorganisms, and/or chemical contaminants
Freezing	Failure to destroy parasites, prevent growth of pathogenic microorganisms
Cooking	Failure to destroy pathogenic microorganisms
Cooling	Failure to prevent growth of pathogenic microorganisms
Reheating	Failure to destroy pathogenic microorganisms
Hot Holding	Failure to prevent growth of pathogenic microorganisms
Cold Holding	Failure to prevent growth of pathogenic microorganisms
Thawing	Failure to prevent growth of pathogenic microorganisms
Cleaning	Failure to prevent the transfer of pathogenic microorganisms from a soiled surface to a clean food contact surface or directly onto food
Sanitizing	Failure to destroy pathogenic microorganisms that may remain on a food contact surface after cleaning
Employee Health	Failure to prevent communicable diseases from being transmitted to food by infected employees
Employee Hygiene	Failure to prevent the introduction of foreign objects into food; prevent the possibility of transmitting disease through food
Bare Hand Contact	Failure to prevent the possibility of transmitting disease through food
Knowledge of the Person in Charge	Failure to designate a person to be in charge of food safety operations, to be knowledgeable about foodborne disease prevention

RISK CONTROL PLAN

Food Establishment: _____Person-in-Charge_____

Address: _____ Manager: _____

Phone Number: _____ Inspection Date: _____

TO BE FILLED OUT BY THE INSPECTOR:

Describe the violation (Risk Factor): _____

Food Code Section Number: _____

TO BE FILLED OUT BY THE PERSON IN CHARGE: (Use additional sheets if needed)

Describe the problem. Why is this problem occurring? Why is it difficult to control this problem?

How will you correct the problem?

Will staff need to be re-trained? Who will train them?

How will the corrective action be monitored? (logs, charts, visual monitoring of staff, etc.)

Who will be responsible to monitor it? How often?

Who will check that the monitoring was done? How often?

What will be done if the correction is not working to control the violation?

How will you communicate the results to the inspector?

Submitted by PIC: _____Approved by INSPECTOR: _____

If you do not feel comfortable filling out the risk control plan form, you can use a narrative as a written summary of the plan. The narrative should include a description of what needs to be controlled, how it will be controlled, the necessary records, name of the person who is responsible, training and equipment needs, and how the results will be communicated to the sanitarian. As an example:

"This plan is intended to assure the adequate cooking of hamburgers.
Sally Brown, the head chef, will train Bob and Jimmy, the grill line cooks, the proper procedures to cook hamburgers and to take temperatures using a digital thermometer.

Hamburgers will be cooked to an internal temperature of 155 F for 15 seconds. Bob and Jimmy will make random temperature checks. If the hamburgers are not cooked to at least 155 F, the hamburgers will be returned to the grill until 155 F is reached.

Sally will take four random temperatures of hamburgers in the morning and four random temperatures of hamburgers in the afternoon. She will record the temperatures on her production chart. In addition to returning any undercooked hamburgers to the grill, Sally will provide additional training and may make personnel changes if necessary, should the critical limit be exceeded. A note about any corrective action taken will also be recorded on the production chart.

Sally will fax a copy of the production chart to Bill Smith, sanitarian, on Monday morning of each week. Sally will fax the charts for a period of two months ending on September 30, 2003.

Bill Smith will review the charts, notify Sally if there are any concerns, and conduct a follow-up inspection after September 30, 2003

Annex 11

Food Establishment COVID-19 Self-Assessment

Facility Name:_____ **Address**_____**Contact Info.** _____

❒ **PIC:** We have a knowledgeable Person-in-Charge (PIC) during ALL operating hours.

❒ **COVID-19 Monitor:** The PIC has designated person to ensure COVID-19 protocols are followed on all shifts.

❒ **Masks:** We will enforce the mask requirements for all staff and patrons. If necessary, we will have a Greeter remind patrons of the BOH requirement for masks until seated and provide masks as necessary. Face coverings are required at all times for staff and patrons, except when seated and social distancing.

❒ **Re-Opening:** When re-opening, we have cleaned and sanitized our establishment, flushed hot and cold-water taps and ice makers, cleaned or changed all filters, checked refrigerators and discarded any out-of-date foods and supplies.

❒ **Cleaning and Disinfection:** We have staff designated to clean and disinfect frequently touched surfaces.

❒ **Operations:** We have simplified our menu/operations to reduce cross contamination and food prep by wait staff.

❒ **Capacity:** Indoor and outdoor seating has been reduced where needed to maintain required 6 ft. social distancing.

❒ **Seating:** We will only have outdoor seating and take-out unless otherwise approved by the Board of Health (BOH).

❒ **Tables:** All tables are placed to ensure that diner's chairs are at least 6 feet from other dining groups' chairs and away from high traffic areas.

❒ **Outdoor Enclosures:** All tents, umbrellas and other coverings have at least 50% open sides, even when raining.

❒ **Bathrooms:** Bathrooms with enhanced cleaning schedules will be open to the public when table service resumes.

❒ **Waiting:** Waiting area/line separation and other social distancing requirements are managed. If necessary, we will instruct people to wait in their cars and move to reservations or call ahead seating or pick-up.

❒ **Social Distancing:** We will enforce 6-ft social distancing as required by the BOH using signs and markers.

❒ **Signage:** We have State COVID-19 signage at the entrance reminding patrons to wear a mask until seated.

❒ **Self-Service:** We have eliminated all self-service items and shared condiments.

❒ **Hand Sanitizer:** We have 60%+ ethanol/70%+ isopropanol pump hand sanitizer available for staff and patrons.

❒ **Health Screening:** We screen our staff daily for illness and require sick staff to stay home.

❒ **COVID -19 Plan:** We have a written COVID-19 Control Plan available on request to protect our staff and patrons:

- ❒ Enhanced Facility Set-Up Procedures
- ❒ Enhanced Operating Practices
- ❒ Enhanced Signage.
- ❒ Enhanced Cleaning and Sanitation Plan
- ❒ Enhanced Staff Health Policies
- ❒ Enhanced Staff Training Plan

❒ **Food Code:** We will continue to meet the requirements of the Massachusetts Food Code 105 CMR 590.00.

❒ **Inspections:** We will notify the BOH at least 24 hours before resuming or changing operations.

❒ **Closure:** If contact tracing links my establishment with an outbreak, I will close for 24 hours for a deep cleaning and a review of my COVID-19 Control Plan as determined by the Board of Health.

❒ **Enforcement:** We will close if we can't meet the current Social Distancing, Disinfecting and Personal Protection Precautions as determined by the Board of Health.

❒ *I affirm and certify that the information provided is true, I am 18, the person-in-charge (PIC), the owner or an authorized representative/agent of the establishment referenced in this self-certification and with authority to submit this certification to the Board of Health and grant access for inspections as allowed by law.*

❒ *I will call the BOH at least 24 hours before my anticipated opening.*

_____

Name Title Date

ANNEX 12

TOWN OF WILLIAMSTOWN – BOARD OF HEALTH
FOOD ESTABLISHMENT COMMON VIOLATIONS

1. Improper restriction or exclusion of employees with illnesses.
2. Hand washing not performed frequently or properly.
3. Gloves not being worn when preparing food.
4. Clean outer clothing and/or aprons not worn.
5. Hair restraints not worn; improper restraint of hair.
6. Excessive jewelry on hands; fingernail polish.
7. Wiping cloths in sanitizer not available or easily accessible.
8. Sanitizer test papers not available.
9. Floors, windowsills, underneath tables and equipment not kept clean.
10. Insufficient lighting; unshielded lights; damaged lights.
11. Unused, unnecessary articles and equipment not discarded.
12. Build-up of debris and articles in corners, floor junctures, etc.
13. Dirt/dust build-up on ceilings, walls, lights, vents, in cooler fans.
14. Dumpster areas not kept clean and closed; no concrete/asphalt pad.
15. Outer openings not maintained; intact screens and self-closing doors.
16. Bathrooms not adequately cleaned.
17. Hand washing signs not posted.
18. No liquid soap and paper towels in bathrooms/hand washing areas.
19. No thermometers in coolers/refrigerators.
20. No probe-type thermometers for product internal temperature.
21. Food items not properly stored or segregated.
    a. 6 inches off floor and away from walls; food covered and labeled.
22. Food items not properly thawed.
    a. Under refrigeration or under cool, running water.
23. Food items not properly cooled.
    a. In shallow pans; cool to 70°F within 2 hours, below 41°F within 4 hours.
24. Temperature of food items not monitored.
    a. Less than 41°F, more than 140°F
25. Improper food use/handling , preparation, and/or service.
26. No warning for raw or undercooked foods on premises or in menu.
    a. "WARNING: Items listed with an asterisk (*) may contain raw or undercooked meats, poultry, seafood, shellfish, or eggs and may increase your risk of foodborne illness, especially if you have certain medical conditions."

Town of Williamstown Board of Health

31 North Street, Williamstown, MA 01267 Tel./Fax: (413) 458-9344

FOOD ESTABLISHMENT QUICK INSPECTION REPORT

Establishment Name	
Date/Time of Inspection	**Date/Time of Re-inspection**
Owner/Manager/PIC	
Signature	

CHECK VIOLATED PROVISIONS

- ☐ 1. Improper restriction or exclusion of sick employees.
- ☐ 2. Hand washing not performed frequently or properly.
- ☐ 3. Gloves not being worn when preparing food.
- ☐ 4. Clean outer clothing a/o aprons not worn.
- ☐ 5. Hair restraints not worn; improper restraint of hair.
- ☐ 6. Excessive jewelry on hands; fingernail polish.
- ☐ 7. Wiping cloths in sanitizer not available or easily accessible.
- ☐ 8. Sanitizer test papers not available.
- ☐ 9. Floors, windowsills, underneath tables & equipment not kept clean.
- ☐ 10. Insufficient lighting; unshielded lights; damaged lights.
- ☐ 11. Unused, unnecessary articles & equipment not discarded.
- ☐ 12. Build-up of debris & articles in corners, floor junctures, etc.
- ☐ 13. Dirt/dust build-up on ceilings, walls, lights, vents, in cooler fans.
- ☐ 14. Dumpster areas not kept clean & closed; no concrete/asphalt pad.
- ☐ 15. Outer openings not maintained; intact screens & self-closing doors.
- ☐ 16. Bathrooms not adequately cleaned.
- ☐ 17. Hand washing signs not posted.
- ☐ 18. No liquid soap and paper towels in bathrooms/hand washing areas.
- ☐ 19. No thermometers in coolers/refrigerators.
- ☐ 20. No probe-type thermometers for product internal temperature.
- ☐ 21. Food items not properly stored or segregated.
  - a. 6 inches off floor & away from walls; food covered & labeled.
- ☐ 22. Food items not properly thawed.
  - a. Under refrigeration or under cool, running water.
- ☐ 23. Food items not properly cooled.
  - a. In shallow pans; cool to 70°F w/i 2 hours, below 41°F w/i 4 hours.
- ☐ 24. Temperature of food items not monitored.
  - a. Less than 41°F, more than140°F
- ☐ 25. Improper food use/handling, preparation, a/o service.
- ☐ 26. No warning for raw or undercooked foods on premises or in menu.
- ☐ 27. Other: _____
- ☐ 28. Other: _____

(see enforcement notice on the reverse)

Town/City of _____ -

Board of Health Food Establishment Self-Inspection (Alliance 2020.06.15)

Name	Permit #	Date
Address		Risk Category ❒ 1 ❒ 2 ❒ 3 ❒ 4
Person in Charge (PIC)	Certification Expiration Date	Signature
Contact Info		HACCP ❒ Yes ❒ No

Type of Operation
- ❒ Food Service Establish.
- ❒ Retail Food Store
- ❒ Residential: Cottage Foods
- ❒ Residential: B and B
- ❒ Mobile/Pushcart
- ❒ Temporary Food Establish.
- ❒ Farmers' Market
- ❒ Caterer; school,

Type of Self -Assessment
- ❒ Routine
- ❒ Re-inspection
- ❒ Pre-operation
- ❒ Illness Investigation
- ❒ General Complaint
- ❒ HACCP
- ❒ COVID Control Plan
- ❒ Other _____

IN– In compliance OUT – Out of compliance NA – Not Applicable NO – Not Observed COS – Corrected On the Spot R – Repeat Violation

COMPLIANCE STATUS		IN	OUT	NA	NO
SUPERVISION					
1	Person in Charge Present, demonstrates knowledge, performs duties	☐	☐		
2	Certified Food Protection Manager	☐	☐	☐	
EMPLOYEE HEALTH					
3	Mgt., food employee & conditional employee: knowledge, responsibilities and reporting	☐	☐		
4	Proper use of restriction & exclusion	☐	☐		
5	Procedure for responding to vomiting & diarrheal events	☐	☐		
GOOD HYGIENIC PRACTICES					
6	Proper eating, tasting, drinking, tobacco	☐	☐		☐
7	No discharge from eye, nose & mouth	☐	☐		☐
PREVENTING CONTAMINATION FROM HANDS					
8	Hands clean & properly washed	☐	☐		☐
9	No bare-hand contact with RTE food	☐	☐	☐	☐
10	Adequate hand wash sinks properly supplied & accessible	☐	☐		
APPROVED SOURCE					
11	Food obtained from an approved source	☐	☐		
12	Food received at proper temperature	☐	☐	☐	☐
13	Food received in good condition, safe & unadulterated	☐	☐		
14	Required records available: shellstock tags, parasite destruction	☐	☐	☐	☐
PROTECTION FROM CONTAMINATION					
15	Food separated and protected	☐	☐	☐	☐
16	Food contact surfaces: clean/sanitized	☐	☐	☐	
17	Proper disposition of returned, previously served, reconditioned & unsafe food	☐	☐		
TIME/TEMPERATURE CONTROL FOR SAFETY					
18	Proper cooking time & temperatures	☐	☐	☐	☐
19	Proper reheating for hot holding	☐	☐	☐	☐
20	Proper cooling time and temperature	☐	☐	☐	☐
21	Proper hot holding temperature	☐	☐	☐	☐
22	Proper cold holding temperature	☐	☐	☐	☐
23	Proper date marking & disposition	☐	☐	☐	☐
24	Time as a Public Health Control	☐	☐	☐	☐
CONSUMER ADVISORY					
25	Consumer advisory provided for raw/undercooked food	☐	☐	☐	
HIGHLY SUSCEPTIBLE POPULATIONS					
26	Pasteurized foods used; no prohibited food	☐	☐	☐	
FOOD/COLOR ADDITIVES & TOXIC SUBSTANCES					
27	Food additives: approved & properly used	☐	☐	☐	
28	Toxic substance properly identified, stored & used	☐	☐	☐	
CONFORMANCE WITH APPROVED PROCEDURES					
29	Compliance with variance/specialized procedure/ HACCP plan	☐	☐	☐	
SAFE FOOD AND WATER					
30	Pasteurized eggs used where required	☐	☐	☐	
31	Water & ice from approved source		☐		
32	Variance obtained for specialized processing methods.	☐	☐	☐	
FOOD TEMPERATURE CONTROL					
33	Proper cooling methods used; adequate equipment for temperature control	☐	☐	☐	☐
34	Plant food properly cooked for hot holding		☐	☐	☐
35	Approved thawing methods used		☐	☐	☐
36	Thermometers provided & accurate		☐		
FOOD IDENTIFICATION					
37	Food properly labeled; original container		☐		
PREVENTION OF FOOD CONTAMINATION					
38	Insects, rodents & animals not present		☐		
39	Contamination prevented during food preparation, storage & display		☐		
40	Personal cleanliness		☐		
41	Wiping cloths: properly used & stored		☐		
42	Washing fruits & vegetables		☐		
PROPER USE OF UTENSILS					
43	In-use utensils properly stored		☐		
44	Utensils, equipment & linens: properly stored, dried & handled		☐		
45	Single use/single service articles: properly stored & used		☐		
46	Gloves properly used		☐		
UTENSILS, EQUIPMENT & VENDING					
47	Food & non-food contact surfaces cleanable, properly designed, constructed & used		☐		
48	Warewashing facilities: installed maintained & used; test strips used		☐		
49	Non-food contact surfaces clean		☐		
PHYSICAL FACILITIES					
50	H & C water available; adequate pressure		☐		
51	Plumbing inst.; proper backflow devices		☐		
Food Establishment: Inspection Date:					
52	Sewage & wastewater properly disposed		☐		
53	Toilet properly constructed, supplied & cleaned		☐		
54	Garbage/refuse properly disposed; maintained		☐		
55	Physical facilities maintained & cleaned		☐		
56	Adequate ventilation & lighting;		☐		
M1	Anti-choking procedures 25 seats +	☐	☐	☐	☐
M2	Allergy Awareness Training	☐	☐	☐	☐
M3	Consumer Disclosures for raw animal foods	☐	☐	☐	☐
M6		☐	☐	☐	☐
M7		☐	☐	☐	☐
M8	.	☐	☐	☐	☐
M9		☐	☐	☐	☐
M10		☐	☐	☐	☐