

# TABLE OF CONTENTS

	<u>PAGE #</u>
Announcement.....	5
Chapter I Purpose and Definitions.....	7
Introduction.....	7
Definitions.....	7
Chapter II Qualifying for Standardization.....	11
Prerequisite Training and Experience.....	11
Chapter III Standardization: Field Requirements and Administration.....	13
Scope.....	13
Performance Areas.....	13
Methodology.....	13
Table #1: Summary of Inspection Methods for Each Performance Area.....	14
Inspection Equipment Requirements.....	15
Field Exercise.....	16
Performance Criteria.....	17
Assessment – Level of Agreement with Performance Criteria.....	20
Table #2: Summary of Level of Agreement Required for Each Level of Performance Area.....	22
Standardization Certification.....	23
Certificate Issuance.....	23
Certificate Expiration.....	23
Certificate Maintenance.....	23
Standardization Renewal.....	24

	<u>PAGE #</u>
Requirements.....	24
Expired Certificates.....	24
<b>Termination of Field Exercise or Standardization Suspension or Revocation.....</b>	<b>24</b>
Termination of Field Exercise.....	24
Standardization Suspension or Revocation.....	24
Request for Re-Standardization After Termination, Suspension or Revocation.....	25
<b>Chapter IV Communication Skills.....</b>	<b>27</b>
Objective.....	27
Introduction.....	27
Interview with the Person-in-Charge.....	28
Exit Conference.....	28
<b>Annex I: Standardization Nomination Form.....</b>	<b>29</b>
<b>Annex 2: Standardization Inspection Report.....</b>	<b>31</b>
<b>Annex 3: ISDH Food Code Reference Sheet.....</b>	<b>39</b>
<b>Annex 4: ISDH Report Marking Instructions.....</b>	<b>61</b>
<b>Annex 5: ISDH Risk Control Plan Form.....</b>	<b>83</b>
Risk Control Plan (Sample).....	84
<b>Annex 6: ISDH HACCP Plan Verification Worksheet.....</b>	<b>87</b>
<b>Annex 7: ISDH HACCP Verification Summary.....</b>	<b>91</b>
<b>Annex 8: ISDH Scoring Form and Instructions for Scoring and Determining Performance.....</b>	<b>93</b>
Scoring Form (Example #1).....	95

	<u>Page #</u>
Scoring Form (Example #2).....	96
Annex 9: ISDH Final Scoring Report.....	97
Annex 10: FDA & ISDH Standardized Training Officers	99
Participating counties.....	100
List of Participating Individuals in the Standardization Program.....	101
Sample Certificate.....	103

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# STANDARDIZATION OF FOOD PROTECTION

## PROGRAM PERSONNEL

The U.S. Food and Drug Administration (FDA) has provided criteria for an updated Retail Food Protection Standardization Program. The purpose is to improve food safety and achieve a high degree of uniformity throughout the nation in both the requirements and the manner of enforcement of state and local laws governing sanitation in the retail food industry. FDA is in the process of standardizing Indiana State Department of Health (ISDH) Food Protection Specialists in uniform interpretation of FDA Model Food Code Standards and preparation of appropriate forms.

Upon successful completion of the formal training program, the ISDH food specialist is officially designated by FDA as a Standardized Food Establishment Inspection/Training Officer and issued a three (3) year certificate that is renewable upon demonstration of continued competency.

The Food Protection Program has established a similar standardization program for local health department personnel in Indiana. The requirements are essentially the same as those that the FDA Standardization Program used for the standardization of the ISDH Food Protection staff and are set forth in the attached *Procedures for Standardization and Certification of Retail Inspection/Training Officers*.

We feel that the FDA Standardization Program has been of great value to the ISDH Food Protection staff and will be of similar benefit to your department.

Applications for standardization may be forwarded to this office at any time. A *Standardization Nomination Form* is included with this document (**Annex 1**). We will implement the process as rapidly as our personnel resources permit.

If you have any questions regarding this program, please contact this office at 317/233-7360 or the ISDH Food Protection Program representative in your area.

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## Chapter I

### PURPOSE AND DEFINITIONS

#### INTRODUCTION

FDA has provided the ISDH Food Protection Program the current “Procedures for Standardization and Certification of Retail Inspection/Training Officers”. These procedures are focused on the 2003 FDA Model Food Code Supplement and have been adapted to the “Retail Food Establishment Sanitation Requirements, 410 IAC 7-24” (referenced hereafter as Rule).

The updated standardization procedures involve food safety interventions, identification of risk factors known to contribute to foodborne illness, and a Hazard Analysis Critical Control Point (HACCP) based inspection.

This document sets forth uniform procedure to be followed by the FDA Standardized Inspection/Training Officer and State Standardized Inspection/Training Officer (FDA/State Standardized Inspection/Training Officer) for standardizing local and state health department food specialists and/or other related agency personnel to perform retail food establishment inspections.

Standardization of local and state health department food protection personnel is highly recommended by both the FDA and ISDH Food Protection Program. Standardization should provide increased accuracy and uniformity in inspection results and assist the local health department in dealing with industry, the news media and court systems regarding any significant public health problem encountered in retail food establishments.

Through the application of this procedure, the candidate will demonstrate knowledge and expertise in the understanding, application and interpretation of food code interventions; foodborne illness risk factors, HACCP principles, use of essential inspection equipment, and will exhibit necessary communication skills in conducting a food establishment inspection. This procedure is not intended to provide basic training for newly employed candidates. The candidate shall meet all the requirements of the procedure in order to be standardized by a FDA/State Standardized Inspection/Training Officer.

#### DEFINITIONS

**“Applicant”** means a representative of a local health department, ISDH staff or other state agency who has applied for standardization based on the procedures established in this document.

**“Candidate”** means an applicant who successfully completes the eligibility requirements for initial standardation.

**“Certification”** means the process by which the FDA/State Standardized Inspection/Training Officer verifies that a candidate meets the requirements set forth in this document.

**“Complex Food Preparation”** means a process wherein multiple food processes are involved in the preparation of a retail food item, i.e., food is stored, prepared, cooked, cooled, reheated, hot held and served.

**“Critical Control Point”** (CCP) means a point or procedure in a specific food system where loss of control may result in an unacceptable health risk.

**“Critical Limit”** (CL) means the maximum or minimum value to which a physical, biological or chemical parameter must be controlled at a CCP to minimize the risk that the identified food safety hazard may occur.

**“FDA Standardized Inspection/Training Officer”** means an Indiana State Department of Health (ISDH), Food Protection Program, Retail Food Specialist, who has been issued a certificate by the FDA stating that the candidate has successfully met all the requirements for standardization/training officer certification.

**“Food Code Interventions”** means the following set of new preventive measures that were introduced with the ISDH Rule.

1. Demonstration of Knowledge;
2. Employee Health;
3. Hands as a Vehicle of Contamination (also a risk factor);
4. Time/Temperature Relationships (also a risk factor); and
5. Consumer Advisory.

**“Good Retail Practices”** (GRPs) mean practices which are preventive measures that include practices and procedures which effectively control the introduction of pathogens, chemicals and physical objects into food. GRPs are prerequisites to instituting a HACCP plan or Risk Control Plan (RCP).

**“HACCP Plan”** means a written document that delineates the formal procedures for following the Hazard Analysis Critical Control Point principles developed by the National Advisory Committee on Microbiological Criteria for Foods.

**“HACCP Principles”** means the seven (7) principles of the HACCP system, which are:

1. Conduct a hazard analysis;
2. Identify the Critical Control Points (CCPs) in the process;
3. Establish Critical Limits (CLs) for preventive measures associated with each identified CCP;
4. Establish CCP monitoring requirements;
5. Establish corrective action to be taken when monitoring indicates there is a deviation from the established CL;
6. Establish procedures for verification that the HACCP system is working correctly; and

7. Establish effective record-keeping procedures that document the HACCP system.

**“Highly susceptible population”** (HSP) means a group of persons who are more likely than other populations to experience foodborne disease because they are immunocompromised or adults who are at least sixty-five (65) years of age and in a hospital, preschool age children in a facility that provides custodial care, such as a child care center, or children nine (9) years of age or younger in a school or custodial child care facility that are served juice.

**“National Shellfish Sanitation Program”** (NSSP) means a program that is a cooperative state, FDA, and industry program for the sanitary control of shellfish that are shipped in interstate commerce.

**“Person-in-Charge”** (PIC) means the individual present at a retail food establishment who is responsible for the operation at the time of the inspection.

**“Potentially Hazardous Food”** (PHF) means food that meets the definition of PHF as defined in 410 IAC 7-24-66.

**“Ready-to-Eat Food”** (RTEF) means food that meets the definition of RTEF as defined in 410 IAC 7-24-72.

**“Risk-Based Inspection”** means a food establishment inspection approach focused on identifying significant behaviors and practices inherent to the retail food establishment operations with particular emphasis on rule interventions and risk factors.

**“Risk Control Plan”** (RCP) means a mutually agreed upon written plan, between the candidate and the management of the retail food establishment, that describes a management system for control of foodborne illness risk factors. The plan delineates necessary records, responsible person, what needs to be controlled, and how it will be controlled.

**“Risk Factors”** means improper practices or procedures that have been identified by the Centers for Disease Control and Prevention, through epidemiological data, as the most prevalent contributing factors of foodborne illness or injury. Risk factors include:

1. Poor personal hygiene;
2. Food from unsafe source;
3. Inadequate cooking;
4. Improper holding temperatures; and
5. Contaminated equipment.

**“Rule”** means the Indiana State Department of Health Retail Food Establishment Sanitation Requirements, 410 IAC 7-24.

**“Standardization”** means a formal test of the candidate’s competence in the interpretation of sanitation requirements and use of the appropriate inspection report. Following preparatory standardization training, the trainer conducts simultaneous but independent inspections with each candidate and compares the results after inspections are completed.

All clarification questions should be asked by the candidate and/or trainer at the completion of each establishment inspection prior to giving a copy of the report to the operator.

**“Standardized Inspection Officer”** means a person who has been issued a certificate by the ISDH Food Protection Program and has successfully met all requirements for certification.

**“Standardized Inspection/Training Officer”** means a person who has been issued a certificate by the ISDH Food Protection Program stating the candidate has met all the requirements for standardization/training officer certification.

**“Trainer”** means an individual who has been standardized by FDA as an inspection/training officer or an individual from a local health department or other agency who has been state standardized as an inspection/training officer and is designated to standardize other qualified individuals within his/her department.

## CHAPTER II

### QUALIFYING FOR STANDARDIZATION

#### PREREQUISITE TRAINING AND EXPERIENCE

This chapter explains the prerequisite training and experience requirements for candidates to qualify for standardization.

In order for the ISDH Food Protection Program 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 specified in this chapter. These eligibility requirements only apply to first time candidates for standardization. Once standardized, the individual only needs to meet the standardization maintenance requirements.

Any individual working in the field of food protection for a local health department, ISDH or other state agency may apply for standardization. The employing health agency/department will provide background information about the candidate to this program. This should include present duties, academic training, experience in retail food protection and related fields, and length of service with the agency/department.

#### A. Applicants for initial state standardization must:

1. Be routinely engaged in retail food protection work;
2. Have job responsibility of conducting routine inspections and the capability to conduct food safety training or standardization of other regulatory personnel;
3. Have successfully completed, within the preceding two (2) years, at least 20 contact hours of training in the application of food science and related studies such as: microbiology, epidemiology, regulations, plan review or HACCP principles.
4. Have fulfilled one (1) or more of the following prerequisites:
  - a. At least one (1) year of full-time experience in retail food establishment inspections within the past three (3) years, or
  - b. At least 100 retail food establishment inspections performed within the past three (3) years, such as enforcement, training or consultation inspections.
  - c. Program reserves the right to request documentation supporting the qualifying requirements.

B. When an applicant's supervisor submits the *Standardization Nomination Form (Annex 1)*, documentation of having fulfilled the above eligibility requirements must also be provided. The candidate's supervisor must sign, date and submit the form to the ISDH Food Protection Program.

- C.** Applicants who do not meet eligibility requirements may later request standardization, after completing the unmet requirements.

## CHAPTER III

### FIELD REQUIREMENTS AND ADMINISTRATION

This chapter explains the field requirements leading to certification as a State Standardized/Training Inspection Officer or Standardized Inspection Officer.

#### SCOPE

##### A. Performance Areas

The following areas of performance shall be addressed by the candidate during the retail food establishment inspections and evaluated by the trainer.

1. **Good Retail Practices (GRPs):** The candidate shall demonstrate knowledge of rule provisions related to good retail practices and the ability to interpret and apply them.
2. **Risk-Based Inspection:** The candidate shall demonstrate knowledge of rule provisions related to rule interventions and risk factors which are most frequently associated with foodborne illness or injury.
3. **Application of HACCP:** The candidate shall demonstrate the ability to verify compliance with an existing HACCP plan and shall demonstrate the ability to apply all seven (7) HACCP principles to the inspection process.
4. **Inspection Equipment:** The candidate shall be equipped and familiar with inspection equipment essential to each retail food establishment inspection. During the inspection, the candidate shall demonstrate knowledge of proper use of essential inspection equipment.
5. **Communication:** The candidate shall demonstrate the ability to effectively communicate with the person-in-charge (PIC) and explain significant inspection findings to the PIC at the conclusion of the inspection.

##### B. Methodology

1. **Initial Standardization:** The trainer and the candidate shall conduct eight (8) joint field inspections of retail food establishments, including at least one (1) with a HACCP plan, selected by the trainer. The retail food establishments selected for inspection during standardization should be in the menu category 3, 4 or 5 as described in the Rule (**Appendix A, Page 107**). All eight (8) inspections for initial standardization should be completed within a reasonable period of time, not to exceed 12 months.
2. **Standardization Recertification:** The trainer and the candidate will conduct six (6) joint field inspections of retail food establishments, including at least one (1) with a HACCP plan, selected by the trainer. The food establishments selected for inspection during standardization recertification should be in menu category 3, 4 or 5 as described in the Rule (**Appendix A, Page 107**). All six (6) inspections

for re-certification should be completed within a reasonable period of time, not to exceed three (3) years.

3. **Options of the Trainer:** The trainer has the option of adjusting the time period, type of facility selected, and methodology for inspection at any time to enhance the effectiveness of the standardization process.
4. **Performance Evaluation Methods:** The performance of the candidate shall be evaluated by the trainer using the methods outlined in the following table:

**TABLE #1**

**SUMMARY OF INSPECTION METHODS FOR EACH PERFORMANCE AREA**

<b><u>PERFORMANCE AREA</u></b>	<b><u>INITIAL STANDARDIZATION</u></b>	<b><u>RE-STANDARDIZATION</u></b>
<b>Good Retail Practices</b>	Joint Inspections	Joint Inspections
<b>Risk-Based Inspections</b>	Joint Inspections	Joint Inspections
<b>Application of HACCP Principles</b>	<ul style="list-style-type: none"> <li>• Risk Control Plan</li> <li>• Process Flow Charts</li> <li>• Verification of existing HACCP Plan, and</li> <li>• Orally communicates seven (7) principles of HACCP</li> </ul>	<ul style="list-style-type: none"> <li>• Risk Control Plan</li> <li>• Process Flow Charts (optional)</li> <li>• Verification of existing HACCP Plan</li> </ul>
<b>Inspection Equipment</b>	Field Observations	Field Observations
<b>Communications</b>	Field Observations	Field Observations

- NOTE:**
1. All of the initial standardization requirements are to be completed during a total of eight (8) joint evaluations with the trainer over a period not to exceed 12 months.
  2. The maintenance requirements are to be completed during a total of six (6) joint evaluations with a trainer over a period not to exceed three (3) years.

## **INSPECTION EQUIPMENT REQUIREMENTS**

- 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 retail food operations.

The candidate shall be evaluated on the proper use of the inspection equipment during all inspections. Even though some equipment is listed as optional, it may be essential for some food establishment inspections, depending on the circumstances.

- B. Equipment list:** The following is a list of the essential equipment recommended to evaluate a retail food operation:

1. Inspection forms and administrative materials;
2. Lab coat or equivalent protection to cover street clothes, or clean street clothes;
3. Head cover: baseball cap, hair net, or equivalent;
4. Accurately calibrated thermocouple or temperature measuring device;
5. Maximum registering thermometer or temperature sensitive tapes for verifying hot water warewasher final rinse temperature;
6. Chemical test kit for different chemical sanitizer types;
7. Flashlight; and
8. Alcohol swabs.

- C. Optional equipment list:** The following is a list of optional equipment recommended to evaluate a retail food operation:

1. Light meter;
2. Pressure gauge;
3. Measuring tape;
4. Time\temperature data logger;
5. pH meter;
6. Water activity meter; and
7. Camera.

## INSPECTION

### A. Field Exercise

1. **Candidate Inspection Duties:** During all joint retail food establishment inspections, the candidate shall take the lead. The candidate shall make introductions and determine who the PIC is at the beginning of each inspection.

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 rule requirements, citing rule provisions, calibrating inspection equipment, and preparing flow charts or reviewing HACCP records to demonstrate proficiency in each area.

2. **Performance Areas:** During the inspection, the trainer shall observe and evaluate the candidate based on the candidate's interpretation and application of the provisions in the Rule. Five (5) performance areas are included in the evaluation:
  - a. Good Retail Practices (GRPs);
  - b. Risk-Based Inspection;
  - c. Application of HACCP principles;
  - d. Inspection equipment; and
  - e. Communication skills.
3. **Comparison of Findings:** Following each joint retail food establishment inspection the candidate shall compare his/her findings with the trainer's and the differences shall be thoroughly discussed before proceeding to the next inspection.

The trainer shall retain copies of the candidate's inspection reports, flow charts, and RCP to document satisfactory completion of the standardization requirements.

At the conclusion of the field exercise, the trainer shall tabulate and review the candidate's inspection results and other observations to determine if the candidate has successfully completed the requirements for standardization.

## B. Performance Criteria

To be certified, the candidate shall meet the following criteria for each performance area:

### 1. Good Retail Practices and Risk-Based Inspection

- a. **Inspection Report:** At the conclusion of each inspection, the candidate shall complete a *Standardization Inspection Report (Annex 2)* based on observations and data collected during the inspection. The candidate shall determine which items on the inspection report form were in or out of compliance, not observed, and/or not applicable based on the observations.
- b. **Candidate Scoring:** The trainer shall grade each *Standardization Inspection Report (Annex 2)* by circling each incorrectly marked item and discussing these items with the candidate after each inspection.

The trainer may mark an item “D” to reflect disagreement in a case where the candidate has the opportunity to make an observation or take a measurement and fails to do so. Intervention by the trainer would alert the candidate to the missed opportunity. A scoring of “D” 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 5.1(B) as NO. The trainer’s scoring of an item as “D” represents a disagreement between the candidate and the trainer.

At the conclusion of each inspection, the trainer shall determine the number of disagreements on items and record that number in the chart provided in **Annex 8**. At the completion of the final inspection, the trainer shall total the number of disagreements for all the retail food establishment inspections.

- (1) To satisfy the risk-based inspection performance area, the candidate shall not disagree with the trainer on **more than 11 items in any one (1) establishment** in this section of the *Standardization Inspection Report* and have a total **average number of agreements of at least 90%**.
- (2) To satisfy the GRPs inspection performance area, the candidate shall not disagree with the trainer on **more than five (5) items in any one (1) establishment** in this section of the *Standardization Inspection Report* and have a total **average score of at least 85%**.

### 2. Application of HACCP Principles

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

- a. **Flow Charts: Required for initial standardization and optional for standardization recertification**

- (1) **Preparing Process Flow Charts:** During the joint inspections, the trainer shall select a total of three (3) processes for the candidate to describe on a flow chart.
  - (a) Process 1 - “No cook step”;
  - (b) Process 2 - “Same day service”; and
  - (c) Process 3 - “Complex food preparation”.

The candidate shall develop a flow chart using the information gained through actual observations of operational steps during an inspection. Information gained through discussion with the PIC and/or food workers should be used to substitute for a lack of observations of the operational steps not occurring during the inspection. On each flow chart, the candidate shall identify the hazards, CCPs, and CIs. The candidate shall indicate the CIs as stated by the Rule and by the establishment, if differing from those of the Rule. In addition, the candidate shall also indicate to the trainer, the CCPs which the establishment did not control.

- (2) **Requirements:** The trainer shall grade the three (3) flow charts based on the correct identification of hazards, CCPs and CLs. To satisfy this requirement, the three (3) flow charts may contain no more than two (2) errors or omissions.

The “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” and the current edition of the Rule will be the reference documents for this exercise.

**b. Risk Control Plan: Required for both initial standardization and recertification**

- (1) **Developing a Risk Control Plan:** During at least one (1) of the joint inspections for both initial standardization and recertification inspections, the trainer will select a CCP that the candidate has determined is not in compliance with CLs set by the Rule. The candidate shall complete **Annex 5**, in order to demonstrate a clear understanding of the observation, process, hazard, critical limits, and corrective actions that are being targeted for a RCP. The candidate shall then develop a mock RCP with the PIC. The RCP should stress simple control measures that can be integrated into the daily routine of the retail food establishment. The plan should be brief and address the following points:
  - (a) What hazard needs to be controlled;
  - (b) How the hazard will be controlled;
  - (c) Who is responsible for control; and

(d) What monitoring, record-keeping and corrective actions are required.

(2) **Requirements:** To satisfy the requirements, all four (4) points shall be addressed in the RCP. The candidate is not required to ask the PIC to commit to implementation of the RCP.

c. **HACCP Plans: Required for both initial standardization and maintenance inspections.**

(1) **Verification of HACCP Plans:** During the joint inspections, the candidate shall select at least one (1) retail 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 retail 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 trainer shall select at least one (1) CCP for the candidate to verify.

The candidate shall review the records for the selected CCPs for three (3) specific 24-hour periods, which shall include records for the current day and two (2) additional days selected at random. Based on this review, the candidate shall make the following determinations regarding monitoring, record keeping and the performance of corrective action for a total of nine (9) HACCP plan record answers.

(a) Required monitoring was performed on the three (3) selected dates;

(b) Accurate and consistent records appear for the selected dates; and

(c) Corrective action was documented in accordance with the plan when CLs were not met on each of the three (3) selected dates (candidate shall select the three (3) days of records through discussions with the PIC).

(2) **HACCP Principles (for initial standardization only):** The candidate shall orally communicate to the trainer the HACCP principles and how they would apply to the food establishment operation.

**(3) Requirement:** The candidate shall record the determination under “Records” on the *Standardization Inspection Report (Annex 2)*, and document findings on the *HACCP Plan Verification Summary (Annex 6)*. To satisfy this requirement, the candidate and the trainer shall be in agreement in at least eight (8) out of nine (9) HACCP record answers on the *HACCP Plan Verification Summary (Annex 6)*.

**3. Inspection Equipment:** The candidate shall have the essential equipment **(listed in III (B))** available for use during each inspection and shall demonstrate the necessary knowledge of equipment to conduct a retail food establishment inspection. The candidate shall know how to properly use and maintain the equipment. Specifically, the candidate shall demonstrate that the temperature-measuring device is accurate at 32°F and 212°F.

**4. Communications:** In accordance with **Chapter IV** of this procedure, the candidate shall take the lead in communicating with industry personnel during each of the inspections in the following three (3) areas:

- a. Introduction;
- b. PIC interview; and
- c. Exit conference.

During the inspections, the candidate shall demonstrate, by example, the concepts of food safety such as washing hands at the appropriate place and time and wearing the proper inspection apparel.

The trainer 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.

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

1. *Scoring Form and Instructions for Scoring and Determining Performance, (Annex 8)* can be used to tally the number of disagreements on the items between the trainer and the candidate in the GRPs and Risk-Based Inspection.

**2. Criteria for Success:**

- a. To achieve standardization, the candidate shall meet the minimum requirements for the three (3) Performance Areas: GRPs, Risk-Based Inspection and Application of HACCP Principles. The candidate may receive “Needs Improvement” classification in the Equipment and Communications Performance Areas and still be certified.
- b. When one (1) or both of these performance areas is classified as needing improvement, the candidate and supervisor shall be notified that the “Needs Improvement” area or areas must be satisfactorily addressed before recertification is granted.

- c.** Prior to recertification, the candidate's supervisor must notify the trainer that the area or areas of concern have been addressed.

**TABLE #2**

**SUMMARY OF LEVEL OF AGREEMENT REQUIRED FOR EACH  
LEVEL OF PERFORMANCE AREA**

<b><u>PERFORMANCE AREA</u></b>	<b><u>LEVEL OF AGREEMENT</u></b>
<b>Good Retail Practices</b>	<ul style="list-style-type: none"><li>• <b>No more than five (5) disagreements</b> in any one (1) food establishment and <b>average score of 85%</b> on Annex 8</li><li>• Should average 3 or less disagreements/inspection out of 25 items</li></ul>
<b>Risk-Based Inspection</b>	<ul style="list-style-type: none"><li>• <b>No more than eleven (11) disagreements</b> in any one (1) food establishment and <b>average score of 90%</b> on Annex 8</li><li>• Should average 5 or less disagreements/inspection out of 54 items</li></ul>
<b>Application of HACCP Principles</b>	<ul style="list-style-type: none"><li>• <b>Three (3) Process Flow Charts</b> (optional for standardization maintenance): Maximum of two (2) errors or omissions</li><li>• <b>One (1) Risk Control Plan:</b> Four (4) parts accurately addressed</li><li>• <b>One (1) HACCP Plan Verification:</b> Correctly review documentation records on three (3) different dates for a food establishment HACCP plan with agreement on at least eight (8) out of the nine (9) answers on <b>Annex 6</b></li><li>• <b>Knowledge of HACCP Principles:</b> Accurately lists seven (7) steps (initial standardization only)</li></ul>
<b>Inspection Equipment**</b>	<ul style="list-style-type: none"><li>• Candidate has equipment from the essential equipment list</li><li>• Candidate demonstrates knowledge and use of essential equipment (Rate as Satisfactory or Needs Improvement)</li></ul>
<b>Communications**</b>	<p><b>Observations of:</b></p> <ul style="list-style-type: none"><li>• Introductions to PIC</li><li>• Fact finding questions through interview with PIC</li><li>• Candidate setting the example</li><li>• Exit conference with the PIC</li></ul> <p>(Rate as Satisfactory or Needs Improvement)</p>
<p>** Performance areas deemed in need of improvement by the trainer shall be satisfactorily addressed by the candidate before attempting re-standardization.</p>	

## **STANDARDIZATION CERTIFICATION**

- A. Certificate Issuance:** Upon achieving the level of agreement with the trainer and meeting all the minimum requirements of this procedure, the candidate is awarded a standardization certificate recognizing him/her as a Standardized Inspection Officer or Standardized Inspection Officer/Trainer. A notification of accomplishment is also sent to the standardized individual's supervisor within 60 days.
- B. Certificate Expiration:** Standardization certification is valid for a period of three (3) years. The date that certification is issued and the date it expires appears on the certificate issued by the FDA/State Standardized Inspection/Training Officer.
- C. Certificate Maintenance:**
1. Official standardization records of all retail food establishment inspections shall be maintained by the trainer for a period of at least three (3) years.
  2. The certificate shall be maintained in good standing for the three (3) year period when the standardized person:
    - a. Each year attends at least one (1) ISDH Food Protection Program training seminar or similar food safety workshop;
    - b. Annually accomplishes and documents at least one (1) of the following activities:
      - (1) Assists at least five (5) retail food establishments in the development of RCP. The Standardized Inspection/Training Officer and/or Standardized Inspection Officer shall submit a report describing the outcome of the RCP to the trainer; or
      - (2) Conducts or coordinates and documents to the trainer at least five (5) training courses related to the Retail Food Protection Program; or
      - (3) Performs and documents to the trainer any combination of training courses or RCP's that equals five (5).
    - c. In addition, the Standardized Inspection/Training Officer must annually conduct and document standardization exercises, in accordance with this document, with at least five (5) other retail food inspection personnel within their department or jurisdiction. If five (5) other retail food inspection personnel are not available, the number of retail food inspection personnel may be determined by the FDA Standardized Inspection/Training Officer
    - d. Documentation of certificate maintenance of the above listed activities must be submitted to the state trainer via the program.
  3. Upon written request by the standardized person, the requirements listed in Certificate Maintenance may be adjusted by the trainer due to special situations or circumstances.

## **STANDARDIZATION RENEWAL**

- A. Requirements:** In order to renew a person's standardization, the trainer and standardized person shall conduct six (6) standardization recertification inspections as described in the performance criteria of these procedures. A person's standardization may not be extended beyond the expiration date unless the person successfully fulfills the criteria described in **INSPECTIONS** section and **Chapter IV** and has complied with the certificate maintenance criteria listed in **STANDARDIZATION CERTIFICATION** section of these procedures.
- B. Expired Certificate:** If a person's certificate expires and is not renewed, and the person subsequently reapplies for standardization, the person shall apply in writing to the trainer giving reasons why the person is qualified and should be re-standardized. The person shall submit a *Standardization Nomination Form (Annex 1)* signed by the person's program supervisor. The trainer shall respond in writing to the program supervisor advising whether or not the ISDH Food Protection Program will proceed with standardization and the conditions under which standardization renewal may be accomplished.

## **TERMINATION OF FIELD EXERCISE OR STANDARDIZATION SUSPENSION OR REVOCATION**

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

1. The trainer has the option to 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.
2. The trainer shall notify the candidate and the candidate's supervisor in writing of the reasons for failure.
3. Following termination of the standardization procedure, the trainer shall document the results of the field exercise with the reasons for termination of the field exercise. This information shall be forwarded to the candidate's supervisor and a copy shall be placed in the candidate's file. All evidence and conclusions reached by the trainer shall be documented in writing and shall be kept according to the ISDH record retention schedule.

### **B. Standardization Suspension or Revocation**

1. When a standardized food protection specialist fails to fulfill the required recertification activities, the trainer shall consult with the standardized individual to fully examine the reasons for the failure.
2. Before suspension or revocation, the trainer shall consult with other appropriate personnel in the standardized individual's agency.
3. The ISDH Food Protection Program and the appropriate personnel in the standardized individual's agency shall reach a decision as to whether:
  - a. No action should be taken;
  - b. A warning letter should be sent to the standardized person and the person's supervisor or agency.



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## CHAPTER IV

### COMMUNICATION SKILLS

#### A. Objective

Skillful communication is essential to the inspection process in order to effectuate needed changes by the PIC. This chapter highlights the importance of communication skills during an inspection. Activities and responsibilities involved in a retail food inspection program require a person to speak and 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 trainer shall evaluate the candidate's communication skills.

#### B. Introduction

1. The candidate shall be required to make all introductions. A complete introduction consists of:
  - a. Introducing all persons participating in the inspection;
  - b. Presenting credentials or identification;
  - c. Describing the purpose and flow of the inspection;
  - d. Identifying and explaining to the PIC that it will be necessary to ask questions about the operation during the inspection; and
  - e. 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. An inspection report may be completed and provided at the request of the candidate.
2. In addition to verbal and written communication, the candidate shall use the inspection process to communicate and demonstrate food safety concepts by example. Activities such as proper handwashing, sanitizing thermometers before probing foods and wearing the proper inspection apparel should be used to reinforce spoken and written communications.

### **C. Interview with the PIC**

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 rule interventions and controlling foodborne illness risk factors;
3. What employee health policies are in effect; and
4. What PHFs are on the menu and what production activities are ongoing at the time of inspection?

### **D. Exit Conference**

At the exit conference, 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 RCP; 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 rule interventions, GRPs, and the CCPs which do not meet the CLs as established in the Rule; and
3. Demonstrate the ability to discuss and resolve in a courteous and professional manner issues that the PIC might not agree with or clearly understand.



**State Form 59030 (R/6-05)  
Food Protection Program  
Standardization Nomination Form**

**ANNEX 1**

Applicant's Name:		Title:	
Office Telephone Number:		Home Telephone Number:	
Office Fax Number:	Office E-mail Address:	Agency:	
Office Address:	City:	State:	Zip:
Home Address:	City:	State:	Zip:

**BACKGROUND INFORMATION**

Length of Service With Agency(s):

Present Duties/Date Assigned:

Prior Experience/Dates:

Formal Education/Training Background:

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

Other Prerequisites Completed:

Supervisor's Signature (Confirming Request for Nomination):

Name (Print): \_\_\_\_\_

Name (Signature): \_\_\_\_\_ Date: \_\_\_\_\_

Title: \_\_\_\_\_

Note: Please attach supporting documentation with the application



**ANNEX 2**

Establishment Name:		Type of Facility:	
Physical Address:		Person in Charge:	
City:	State:	Zip:	
Date:	Candidate's Name:	Agency of the Person Completing Form:	
Trainer's Name:		Indicate Person Filling Out Form : (Circle One) Candidate/Trainer	

**ASSOCIATION BETWEEN IDENTIFIED RISK FACTORS AND THE RULE INTERVENTIONS**

**Rule Interventions:**

1. Demonstration of knowledge
2. Hands as a vehicle of contamination
3. Employee health
4. Time/temperature relationship
5. Consumer advisory

**Risk Factors:**

- Poor personal hygiene
- Inadequate cooking
- Improper holding temperature
- Unsafe food sources
- Contaminated equipment

For each item, indicate one (1) of the following for **OBSERVATIONAL STATUS**:

**IN** – Item found in compliance;

**OUT** – Item found out of compliance;

**NA** – Not applicable;

**NO** – Not observed.

The trainer may mark an item “D” 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 trainer would alert the applicant to the missed opportunity.

<b>ABBREVIATIONS</b>	
<b>CCP</b>	<b>Critical Control Point</b>
<b>CL</b>	<b>Critical Limit</b>
<b>GRP</b>	<b>Good Retail Practice</b>
<b>HACCP</b>	<b>Hazard Analysis Critical Control Point</b>
<b>HSP</b>	<b>Highly Susceptible Population</b>
<b>NSSP</b>	<b>National Shellfish Sanitation Program</b>
<b>PHF</b>	<b>Potentially Hazardous Food</b>
<b>RTE</b>	<b>Ready-to-Eat</b>
<b>RTEF</b>	<b>Ready-to-Eat Food</b>
<b>RCP</b>	<b>Risk Control Plan</b>

## FOODBORNE ILLNESS INTERVENTIONS AND RISK FACTORS

### STATUS

1. **DEMONSTRATION OF KNOWLEDGE\***

**IN OUT** Certified via testing with accredited program, or no critical violations and correct responses to food safety questions regarding operation
2. **EMPLOYEE HEALTH \***

**IN OUT** A. Management awareness and policy regarding handling employee health situations

**IN OUT** B. Visible or known symptoms or known diagnosis dealt with according to the Rule
3. **CONSUMER ADVISORY \***

**IN OUT NA** Inform consumers about the increased risk associated with especially vulnerable consumers when eating animal foods in raw or undercooked form via disclosure and reminder
4. **FOOD FROM APPROVED SOURCE**

**IN OUT** A. All food from regulated food processing plants; no home prepared or canned foods \*

**IN OUT NA** B. All shellfish from NSSP listed sources; no recreationally caught shellfish received or sold \*

**IN OUT NA NO** C. Game animals and wild mushrooms approved by regulatory authority\*

- IN OUT D. Food received at proper temperatures; protected from contamination during transportation and receiving; safe and unadulterated food \*
- IN OUT NA NO E. Shellstock tags retained for 90 days from the date the container is emptied \*
- IN OUT NA NO F. Written documentation of parasite destruction maintained for fish products for 90 days

**5. TIME/TEMPERATURE CONTROLS**

**5.1 Inadequate Cooking \***

- IN OUT NA NO A. Raw eggs broken on request and prepared for immediate service cooked to 145°F for 15 seconds. Raw eggs broken but not prepared for immediate service cooked to 155°F for 15 seconds
- IN OUT NA NO B. Comminuted fish and meat cooked to 155°F for 15 seconds
- IN OUT NA NO C. Pork roasts and beef roasts, including formed roasts, cooked to 130°F for 112 minutes or as chart specified and according to oven parameters per chart
- IN OUT NA NO D. Injected meats cooked to 155°F for 15 seconds
- IN OUT NA NO E. Poultry; stuffed fish, meat, pasta, poultry; or stuffing containing fish, meat or poultry cooked to 165°F for 15 seconds
- IN OUT NA NO F. 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 surfaces have a cooked color
- IN OUT NA NO H. Raw animal foods rotated, stirred, covered and heated to 165°F in a microwave. Food must stand for two (2) minutes after cooking
- IN OUT NA NO I. All other raw animal food cooked to 145°F for 15 seconds

**5.2 Reheating for Hot Holding \***

- IN OUT NA NO A. PHF that is cooked and cooled on premises rapidly reheated to 165°F for 15 seconds
- IN OUT NA NO B. Food reheated to 165°F or higher in a microwave
- IN OUT NA NO C. Commercially processed RTEF, if reheated, held at 135°F or above
- IN OUT NA NO D. Remaining unsliced portions of beef roasts reheated for hot holding using minimum oven parameters

**5.3      Treating Juice**

**IN OUT NA**                      When packaged in a food establishment, juice is treated under a HACCP plan to reduce pathogens or labeled as specified in the Rule

**5.4      Cooling \***

**IN OUT NA NO**            **A.**      Cooked PHF cooled from 135°F to 70°F within two (2) hours and from 70°F to 41°F or below within four (4) hours; continuous of six (6) hours total

**IN OUT NA NO**            **B.**      PHF (from ambient temperature ingredients) cooled to 41°F or below within four (4) hours

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

**IN OUT NA NO**            **D.**      After receiving, raw shell eggs placed in 41°F ambient air temperature

**5.5      PHF Cold & Hot Holding \***

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

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

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

**IN OUT NA NO**            **D.**      Untreated shell eggs stored in 41°F ambient air temperature

**5.6      Date Marking & Discarding \***

**IN OUT NA NO**            **A.**      Date marking for RTEF, PHF prepared on-site or opened commercial container held for more than 24 hours is clearly marked to indicate the date of consumption

**IN OUT NA NO**            **B.**      Discarding of RTEF, PHF, prepared on-site/opened commercial container held at 41°F for seven ≤ (7) days: is not date marked; or is incorrectly date marked

**5.7      Time \***

**IN OUT NA NO**            When **only** time is used as a public health control; food is cooked and served within four (4) hours, written procedures approved and available for review

**6. FOOD & FOOD PREPARATION FOR HIGHLY SUSCEPTIBLE POPULATIONS (HSP) \***

- IN OUT NA**      **A.**      Prepackaged juice/beverage containing juice with a warning label not served
- IN OUT NA NO**      **B.**      Use pasteurized eggs in recipes if eggs are undercooked; and, if eggs are combined unless: cooked to order and immediately served; used immediately before baking and thoroughly cooked; or a HACCP plan controls *Salmonella enteritidis*
- IN OUT NA NO**      **C.**      Raw or partially cooked animal food and raw seed sprouts not served
- IN OUT NA NO**      **D.**      Unopened food package not re-served

**7. PROTECTION FROM CONTAMINATION \***

- IN OUT NA NO**      **A.**      Separating raw animal foods from raw RTEF and separating raw animal foods from cooked RTEF
- IN OUT NA NO**      **B.**      Raw animal foods separated from each other during storage, preparation, holding and display
- IN OUT**      **C.**      Food protected from environmental contamination (critical items) \*
- IN OUT**      **D.**      After being served or sold to a consumer, food is not re-served
- IN OUT**      **E.**      Discarding or reconditioning unsafe, adulterated or contaminated food

**8. FOOD-CONTACT SURFACES \***

- IN OUT**      Food-contact surfaces and utensils are clean to sight and touch and sanitized before use

**9. PROPER, ADEQUATE HANDWASHING \***

- IN OUT NO**      Hands clean and properly washed

**10. GOOD HYGIENIC PRACTICES \***

- IN OUT NO**      Food employees eat, drink and use tobacco only in designated areas; do not use a utensil more than once to taste food that is sold or served; do not handle or care for animals present. Food employees experiencing persistent sneezing, coughing or runny nose do not work with exposed food, clean equipment, utensils, linens, or unwrapped single-service or single-use articles

**11. PREVENTION OF CONTAMINATION FROM HANDS \***

**IN OUT NA NO** Exposed, RTEF not touched by bare hands

**12. HANDWASH FACILITIES**

**IN OUT** **A.** Handwash facilities conveniently located and accessible for employees \*

**IN OUT** **B.** Handwash facilities supplied with hand cleanser; sanitary towels; hand drying devices

**13. CHEMICAL**

**IN OUT NA** **A.** If used, no unapproved food or color additives. Sulfites not applied to fresh fruits and vegetables intended for raw consumption \*

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

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

**14. CONFORMANCE WITH APPROVED/REQUIRED PROCEDURES \***

**IN OUT NA** **A.** Conducting reduced oxygen packaging with 2 barriers – required HACCP plan

**SCORE:** Number of disagreements for **Interventions/Risk Factors:** \_\_\_\_\_

## GOOD RETAIL PRACTICES

### STATUS

	<b>15. PERSONNEL</b>	
<b>IN OUT NA</b>		Personal cleanliness (fingernails, jewelry, outer clothing, hair restraints)
	<b>16. FOOD &amp; FOOD PROTECTION</b>	
<b>IN OUT</b>	<b>A.</b>	Food source *, original container, properly labeled, condition, used,* honestly presented *, segregated distressed products
<b>IN OUT NA NO</b>	<b>B.</b>	Plant food cooking for hot holding
<b>IN OUT</b>	<b>C.</b>	Protection from contamination – noncritical items
<b>IN OUT</b>	<b>D.</b>	Facilities/equipment to control product temperature
<b>IN OUT NA NO</b>	<b>E.</b>	PHF properly thawed
<b>IN OUT</b>	<b>F.</b>	Dispensing of food/utensils properly stored
	<b>17. FOOD EQUIPMENT</b>	
<b>IN OUT</b>	<b>A.</b>	Thermometers provided and conspicuous
<b>IN OUT</b>	<b>B.</b>	Food-contact and nonfood-contact surfaces: designed, constructed *, maintained, installed, located, operated, cleanable *
<b>IN OUT</b>	<b>C.</b>	Warewashing facility: designed, constructed, installed, located, operated, cleanable, used
<b>IN OUT</b>	<b>D.</b>	Wiping cloths, linens, napkins, gloves, sponges: properly used, stored
<b>IN OUT</b>	<b>E.</b>	Storage, handling of clean equipment, utensils
<b>IN OUT</b>	<b>F.</b>	Single-service/single-use articles: storage, dispensing, use, no reuse
	<b>18. WATER</b>	
<b>IN OUT</b>		Safe water source *, hot and cold * under pressure, adequate quantity *





## Annex 3

### **FOODBORNE ILLNESS INTERVENTION AND RISK FACTORS**

#### **1. DEMONSTRATION OF KNOWLEDGE**

- Section 117 Assignment of supervision responsibility \*
- Section 118 Demonstration of knowledge \*
- Section 119 Duties of the person-in-charge

#### **2. EMPLOYEE HEALTH**

- Section 120 Responsibility to require reporting by food employees and applicants \*
- Section 121 Exclusions and restrictions \*
- Section 122 Removal of exclusions and restrictions
- Section 123 Responsibility of a food employee or an applicant to report to the person-in-charge \*

#### **3. CONSUMER ADVISORY \***

- Section 196 Consumption of raw or undercooked foods of animal origin

#### **4. FOOD FROM APPROVED SOURCE**

##### **A. All food from regulated food processing plants; no home prepared or canned foods**

- Section 142 Food sources- compliance with food law \*
- Section 143 Food in a hermetically sealed container \*
- Section 147 Fluid milk and milk products \*
- Section 149 Eggs and milk products, pasteurized \*
- Section 150 Shell eggs \*

Section 152 Juice treated

Section 325 Bottled drinking water \*

**B. All shellfish from NSSP listed sources; no recreationally caught shellfish received or sold \***

Section 154 Fish

Section 155 Molluscan shellfish

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

Section 164 Wild mushrooms

Section 165 Game animals

**D. Food received at proper temperatures; protected from contamination during transportation and receiving; safe and unadulterated food \***

Section 139 Food condition

Section 144 Package integrity

Section 166 Specification for receiving temperature of food

**E. Shellstock tags retained for 90 days from the date the container is emptied \***

Section 157 Shellstock identification

Section 160 Shellstock, maintaining identification

**F. Written documentation of parasite destruction maintained for fish products for 90 days**

Section 162 Parasite destruction \*

Section 163 Records, creation and retention

**5. TIME\TEMPERATURE CONTROLS****5.1 *Inadequate Cooking* \***

- A. Raw eggs broken and prepared for immediate service, cooked to 145°F for 15 seconds, raw eggs broken, but not prepared for immediate service, cooked to 155° F for 15 seconds**

Section 182 Cooking of raw animal foods

- B. Comminuted fish, meats, and game animals cooked 155° F for 15 seconds**

Section 182 Cooking of raw animal foods

- C. Pork roasts and beef roasts, including formed roasts, cooked to 130°F for 112 minutes or as chart specified and according to oven parameters per chart**

Section 182 Cooking of raw animal foods

- D. Injected meats cooked to 155°F for 15 seconds**

Section 182 Cooking of raw animal foods

- E. Poultry; stuffed fish, meat, pasta, poultry; or stuffing-containing fish, meat, poultry, cooked to 165°F for 15 seconds**

Section 182 Cooking of raw animal foods

- F. Game animals cooked to 165°F for 15 seconds**

Section 182 Cooking of raw animal foods

- G. Whole-muscle intact beefsteaks cooked to surface temperature of 145°F on top and bottom. Meat surfaces have a cooked color**

Section 182 Cooking of raw animal foods

- H. Raw animal foods rotated, stirred, covered, and heated to 165°F in microwave. Food stands covered for two (2) minutes after cooking**

Section 183 Microwave cooking

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

Section 182 Cooking of raw animal foods

**5.2 Reheating for Hot Holding**

- A. PHF that is cooked and cooled on premises is rapidly reheated to 165°F for 15 seconds for hot holding or preparation for immediate service**

Section 185 Preparation for immediate service

Section 188 Reheating for hot holding \*

- B. Food reheated to 165°F or higher in a microwave**

Section 188 Reheating for hot holding \*

- C. Commercially processed RTE food, if reheated, held at 135°F or above for hot holding**

Section 188 Reheating for hot holding \*

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

Section 188 Reheating for hot holding \*

**5.3 Treating Juice**

Section 152 Juice treated

**5.4 Cooling \***

- A. Cooked PHF cooled from 135°F to 70°F within two (2) hours and from 70°F to 41°F or below within four (4) hours, continuous of six (6) hours total**

Section 189 Potentially hazardous foods; cooling

- B. PHF (from ambient temperature ingredients) cooled to 41°F or below within four (4) hours**

Section 189 Potentially hazardous foods; cooling

- C. Foods received at a temperature according to law cooled to 45°F - 41°F within four (4) hours**

Section 189 Potentially hazardous foods; cooling

- D. After receiving, raw shell eggs placed in 41°F ambient air temperature**

Section 189 Potentially hazardous foods; cooling

**5.5    PHF Cold & Hot Holding \***

- A.    PHF maintained at 41°F or below, except during preparation, cooking, cooling or when time is used as a public health control**

Section 187    Potentially hazardous foods; hot and cold holding

- B.    PHF maintained at 135°F or above, except during preparation, cooking, cooling or when time is used as a public health control**

Section 187    Potentially hazardous foods; hot and cold holding

- C.    Roasts held at a temperature of 130°F or above**

Section 187    Potentially hazardous foods; hot and cold holding

- D.    Shell eggs stored in 41°F ambient air temperature**

Section 166    Specifications for receiving temperatures of food

Section 187    Potentially hazardous foods; hot and cold holding

**5.6    Date Marking & Discarding \***

- A.    Date marking for RTE, PHF prepared on-site or opened commercial container held for more than 24 hours is clearly marked to indicate the date of consumption**

Section 191    Ready-to-eat, potentially hazardous foods; date marking

- B.    Discarding RTE, PHF opened commercial container held at ≤ 41°F for ≤ seven (7) days**

Section 192    Disposition of ready-to-eat potentially hazardous food; date marking

**5.7    Time \*****Time as a Public Health Control**

Section 193    Time as a public health control

**6.    FOOD & FOOD PREPARATION FOR HIGHLY SUSCEPTIBLE POPULATIONS \***

- A.    Prepackaged juice; beverage containing juice with a warning label not served**

Section 153    Pasteurized foods and prohibited food

- B. Use pasteurized eggs in recipes if eggs are undercooked; and if eggs are combined unless: cooked to order and immediately served; used immediately before baking and thoroughly cooked; or a HACCP plan controls *Salmonella enteritidis***

Section 153 Pasteurized foods and prohibited food

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

Section 153 Pasteurized foods and prohibited food

- D. Unopened food package not re-served**

Section 201 Returned food; reservice or sale

**7. PROTECTION FROM CONTAMINATION \***

- A. Separating raw animal foods from RTEF and separating raw animal foods from cooked RTEF**

Section 173 Packaged and unpackaged food; separation, packaging, and segregation \*

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

Section 173 Packaged and unpackaged food; separation, packaging, and segregation \*

- C. Food protected from contamination – critical items \***

Section 173 Packaged and unpackaged food; separation, packaging, and segregation \*

Section 181 Consumer self-service operations <sup>S</sup>

Section 200 Food contact with equipment and utensils

- D. After being served or sold to a consumer, food is not re-served**

Section 201 Returned food; reservice or sale \*

- E. Discarding or reconditioning unsafe, adulterated or contaminated food**

Section 141 Discarding or reconditioning of unsafe, misbranded, adulterated or contaminated food \*

**8. FOOD-CONTACT SURFACES**

- Section 274 Manual warewashing equipment; hot water sanitization temperatures \*
- Section 275 Manual warewashing equipment; chemical sanitization using detergent-sanitizers
- Section 285 Warewashing machines; hot water sanitization temperatures
- Section 286 Warewashing machines; sanitization pressure
- Section 294 Manual and mechanical warewashing equipment; chemical sanitization; temperature, pH, concentration, and hardness \*
- Section 295 Equipment food-contact surfaces, nonfood-contact surfaces, and utensils \*
- Section 296 Equipment food-contact surfaces and utensils; cleaning frequency \*
- Section 297 Not potentially hazardous food contact surfaces cleaning frequency
- Section 298 Cooking and baking equipment
- Section 303 Cleaning and sanitizing of food contact surfaces \*

**9. PROPER, ADEQUATE HANDWASHING**

- Section 128 Hand cleaning and drying procedure \*
- Section 129 When to wash \*
- Section 130 Where to wash
- Section 131 Hand sanitizers
- Section 132 Personal cleanliness \*

**10. GOOD HYGIENIC PRACTICES \***

- Section 136 Eating, drinking, or using tobacco
- Section 137 Discharges from the eyes, nose and mouth
- Section 172 Preventing contamination when tasting

**11. PREVENTION OF CONTAMINATION FROM HANDS \***

Section 171 Preventing contamination from hands

**12. HANDWASH FACILITIES****A. Handwash facilities conveniently located and accessible for employees**

Section 343 Handwashing facilities; numbers and capacities \*

Section 344 Handwashing facilities; location \*

Section 345 Handwashing facility; maintenance \*

**B. Handwash facilities supplied with hand cleanser, sanitary towels and hand drying devices**

Section 346 Availability of handwashing cleanser

Section 347 Hand drying provision

Section 348 Restrictions on handwashing aids and devices

**13. CHEMICAL****A. If used, no unapproved food or color additives. Sulfites not applied to fresh fruits and vegetables intended for raw consumption \***

Section 167 Food additives

Section 168 Protection from unapproved food or color additives

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

Section 420 Refrigerated medicines; storage \*

Section 421 Storage of first aid supplies <sup>S</sup>

Section 422 Storage of other personal care items

***Stock and retail sale of poisonous or toxic material \****

Section 437 Identifying information on original containers

Section 438 Working containers; common name

***Operational supplies and applications*** \*

- Section 419 Medicines restriction and storage
- Section 439 Separation of poisonous or toxic materials
- Section 440 Restriction of poisonous or toxic materials
- Section 441 Conditions of poisonous or toxic materials use
- Section 442 Poisonous or toxic material containers
- Section 443 Sanitizers, criteria
- Section 444 Chemicals for washing fruits and vegetables; criteria
- Section 445 Boiler water additives; criteria
- Section 446 Drying agents; criteria
- Section 447 Incidental food contact with lubricants
- Section 448 Restricted use pesticides; criteria
- Section 449 Rodent bait stations
- Section 450 Use of tracking powders; pest control and monitoring <sup>S</sup>

**C. Poisonous or toxic materials held for retail sale properly stored**

- Section 451 Separate storage and display of poisonous or toxic materials <sup>S</sup>

**14. CONFORMANCE WITH APPROVED/REQUIRED PROCEDURES** \*

- A.** Section 195 Reduced oxygen packaging; criteria

**GOOD RETAIL PRACTICES****15. PERSONNEL****Personnel cleanliness (fingernails, jewelry, outer clothing, hair restraints)**

Section 133 Hand and arm maintenance <sup>s</sup>

Section 134 Jewelry prohibition

Section 135 Clean condition of outer clothing

Section 138 Effectiveness of hair restraint

**16. FOOD & FOOD PROTECTION****A. Food source \*, original container, properly labeled, condition, used \*, honestly presented \*, segregated distressed products**

Section 140 Honest presentation of food

Section 145 Accurate representation of packaged food using standards of identity

Section 146 Food labels

Section 151 Pasteurized eggs; substitute for raw shell eggs for certain recipes \*

Section 156 Shucked shellfish; packaging and identification

Section 158 Shellstock condition

Section 159 Molluscan shellfish original container

Section 169 Ice \*

Section 174 Food storage containers, identified with common name of food

Section 197 Time and temperature control of frozen food

Section 202 Segregation of distressed merchandise

Section 260 Vended potentially hazardous foods; original container

**B. Plant food cooking for hot holding**

Section 186 Potentially hazardous food; cooking for hot holding

**C. Protection from contamination (noncritical items)**

Section 170 Ice used as exterior coolant; prohibited as ingredient

Section 175 Washing fruits and vegetables

Section 176 Storage or display of food in contact with water or ice

Section 177 Food storage <sup>s</sup>

Section 178 Food storage; prohibited areas

Section 179 Food display

Section 180 Condiments; protection

Section 203 Food preparation

Section 204 Miscellaneous sources of contamination <sup>s</sup>

Section 236 Linens and napkins; use limitation

**D. Facilities; equipment to control product temperature**

Section 190 Cooling methods

Section 259 Cooling, heating and holding capacities

**E. PHF properly thawed**

Section 198 Potentially hazardous food; slacking

Section 199 Thawing of food

**F. Dispensing of food; utensils properly stored**

Section 234 In-use utensils; between-use storage

Section 261 Dispensing equipment; protection of equipment and food

Section 262 Vending machine; vending stage closure

**17. FOOD EQUIPMENT****A. Thermometers provided and conspicuous**

Section 254 Accuracy of temperature measuring devices

Section 255 Accuracy of ambient air and water temperature measuring devices

Section 256 Function of temperature measuring devices

Section 257 Food temperature measuring devices

**B. Food-contact and nonfood-contact surfaces: designed, constructed \*, maintained, installed, located, operated, cleanable**

Section 112 Food equipment; certification and classification

Section 161 Molluscan shellfish tanks

Section 184 Microwave ovens

Section 205 Characteristics of materials for utensils and food-contact surfaces \*

Section 206 Cast iron; use limitation

Section 207 Lead in ceramic, china, and crystal utensils; use limitation

Section 208 Copper; use limitation \*

Section 209 Galvanized metal; use limitation \*

Section 211 Lead in pewter alloys; use limitation

Section 212 Lead in solder and flux; use limitation

Section 213 Wood; use limitation

Section 214 Food equipment; cutting surfaces

Section 215 Nonstick coatings; use limitation

Section 216 Nonfood-contact surfaces

Section 217 Durability and strength of equipment and utensils

Section 218 Repair and proper adjustment of equipment

Section 219 "V" threads; use limitation

Section 220 Hot oil filtering equipment

Section 221 Kick plates; removable

Section 222 Equipment openings, closures and deflectors

Section 223	Bearings and gear boxes; leakproof
Section 224	Beverage tubing; separation
Section 225	Condenser unit; separation
Section 227	Fixed equipment; spacing or sealing
Section 228	Fixed equipment; elevation or sealing
Section 229	Cleanability of food-contact surfaces *
Section 230	CIP equipment
Section 231	Cleanability of can openers
Section 232	Cleanability of nonfood-contact surfaces
Section 233	Utensils; consumer self-service
Section 235	Good repair and calibration
Section 240	Characteristics of materials used in single-service and single-use articles *
Section 247	Refilling returnables
Section 248	Returnables; cleaning for refilling *
Section 249	Using clean tableware for second portions and refills
Section 253	Durability and strength of food temperature measuring devices *
Section 263	Can openers on vending machines
Section 264	Vending machines; automatic shutoff *
Section 265	Vending machines; liquid waste products
Section 266	Vending machines; doors and openings
Section 295	Equipment; food-contact surfaces, nonfood-contact surfaces, and utensils <sup>s</sup>
Section 297	Not potentially hazardous food contact surface cleaning frequency
Section 299	Dry cleaning
Section 315	Equipment; clothes washers and dryers, and storage cabinets

- Section 317 Lubricants for food-contact surfaces
- Section 318 Protection of equipment
- Section 333 Ice units; separation of drains

**C. Warewashing facility: designed, constructed, installed, located, operated, cleanable, used**

- Section 226 Equipment compartments; drainage
- Section 258 Temperature measuring devices; manual warewashing
- Section 270 Manual warewashing; sink compartment requirements
- Section 271 Manual warewashing equipment; heaters and baskets
- Section 272 Warewashing equipment; clean solutions
- Section 273 Manual warewashing equipment; wash solution temperature
- Section 276 Washing; procedures for alternative manual warewashing equipment
- Section 277 Pressure measuring devices; mechanical warewashing equipment
- Section 278 Warewashing machines; data plate operation specifications
- Section 279 Warewashing machines; internal baffles
- Section 280 Warewashing machines; temperature measuring devices
- Section 281 Warewashing machines; sanitizer level indicator
- Section 282 Warewashing machines; flow pressure device
- Section 283 Warewashing machines; manufacturers' operating instructions
- Section 284 Mechanical warewashing machine; wash solution temperature
- Section 287 Loading of soiled items; warewashing machines
- Section 288 Warewashing sinks and drainboards; self-draining
- Section 289 Drainboards
- Section 290 Warewashing equipment; cleaning frequency

- Section 291 Sanitizing solutions; testing devices
- Section 292 Warewashing equipment; cleaning agents
- Section 293 Warewashing sinks; use limitation
- Section 294 Manual and mechanical warewashing equipment; chemical sanitization – temperature, pH, concentration, and hardness \*
- Section 300 Precleaning
- Section 301 Wet cleaning
- Section 302 Rinsing procedures

**D. Wiping cloths, linens, napkins, gloves, sponges: properly used, stored**

- Section 210 Sponges; use limitation
- Section 236 Linens and napkins; use limitation
- Section 237 Clean linens
- Section 238 Storage of soiled linens
- Section 239 Equipment, utensils, linens
- Section 244 Storage prohibitions
- Section 245 Wiping cloths; used for one purpose
- Section 246 Gloves; use limitation
- Section 312 Specifications for laundering
- Section 313 Mechanical washing
- Section 316 Wiping cloths; air drying locations

**E. Storage, handling of clean equipment, utensils**

- Section 239 Equipment, utensils, linens
- Section 244 Storage prohibitions
- Section 250 Handling of kitchenware and tableware
- Section 251 Handling of soiled and clean kitchenware

- Section 252 Protection of preset tableware
- Section 304 Equipment and utensils; air drying required

**F. Single-service/single-use articles: storage, dispensing, use, no reuse**

- Section 241 Single-service and single-use articles; required use <sup>s</sup>
- Section 242 Single-service and single-use articles; use limitation
- Section 243 Single-service and single-use articles
- Section 244 Storage prohibitions
- Section 250 Handling of kitchenware and tableware

**18. WATER**

**Safe water source, hot and cold under pressure, adequate quantity**

- Section 320 Water source \*
- Section 326 Nondrinking water \*
- Section 327 Water sampling
- Section 328 Water sample report
- Section 329 Capacity \*
- Section 330 Water pressure
- Section 331 Water distribution, delivery and retention system
- Section 332 Alternative water supply

**19. PLUMBING**

**A. Installed, maintained**

- Section 321 System flushing and disinfection \*
- Section 322 Design, construction and installation of approved plumbing system and cleanable fixtures <sup>s</sup>
- Section 323 Approved plumbing system materials \*
- Section 324 Plumbing system maintained in good repair <sup>s</sup>
- Section 341 Water conditioning device; location

Section 342	Handwashing facility; water temperature and flow
Section 340	Water conditioning device; design
Section 355	Service sink
Section 356	Scheduling inspection and service for a water system device
Section 357	Water reservoir of fogging devices; cleaning *
Section 358	Mobile water tank and mobile retail food establishment water tank materials
Section 359	Enclosed system; sloped to drain
Section 360	Inspection and cleaning port; protected and secured
Section 361	“V” Type threads; use limitation
Section 362	Tank vent; protected
Section 363	Inlet and outlet; sloped to drain
Section 364	Hose; construction and identification
Section 365	Filter; compressed air
Section 366	Protective cover or device
Section 367	Mobile retail food establishment’s water tank inlet
Section 368	System flushing and disinfection *
Section 369	Using a pump and hoses; backsiphonage prevention
Section 370	Protecting inlet, outlet and hose fitting
Section 371	Water tank, pump and hoses dedication

#### **B. Cross connection, backsiphonage prevention**

Section 334	Backsiphonage prevention; air gap *
Section 335	Backsiphonage prevention device; design standard *
Section 336	Backsiphonage prevention device; when required *
Section 337	Backsiphonage prevention device; carbonator *
Section 338	Backsiphonage prevention device; location
Section 339	Prohibiting a cross connection <sup>s</sup>

**20. TOILET FACILITIES****A. Number, convenient, accessible, designed, installed**

Section 350 Toilets and urinals \*

Section 353 Toilet rooms accessibility

**B. Toilet rooms enclosed, self-closing doors, fixtures, good repair, clean, proper waste receptacles**

Section 349 Waste receptacles for disposable towels

Section 351 Toilet room receptacle; covered

Section 352 Enclosed toilet rooms

Section 354 Availability of toilet tissue

**21. SEWAGE****Sewage and waste water disposal**

Section 372 Sewage holding tank of mobile retail food establishment; capacity and drainage

Section 373 Removing mobile retail food establishment wastes

Section 374 Establishment drainage systems

Section 375 Conveying sewage \*

Section 376 Approved sewage disposal system \*

Section 377 Direct connection, prohibited \*

Section 378 Grease trap

Section 379 Flushing a waste retention tank

Section 380 Other liquid wastes and rainwater

**22. GARBAGE AND REFUSE DISPOSAL****Containers or receptacles: covered, adequate number, insect/rodent proof, frequency of removal, clean. Area properly constructed, necessary implements, supplies**

Section 268 Receptacles in vending machines

Section 381 Refuse, recyclables and returnables; indoor storage area

Section 382 Outdoor storage surface; refuse, recyclables and returnables

Section 383	Outdoor enclosure; refuse, recyclables and returnables
Section 384	Receptacles
Section 385	Outside receptacles
Section 386	Storage areas, rooms and receptacles; capacity and availability
Section 387	Cleaning implements and supplies
Section 388	Storage areas, redeeming machines, receptacles and waste handling units; location
Section 389	Storing refuse, recyclables and returnables
Section 390	Storage areas, enclosures and receptacles; good repair
Section 391	Outside storage prohibitions
Section 392	Covering receptacles
Section 393	Using drain plugs
Section 394	Maintaining refuse areas and enclosures
Section 395	Cleaning receptacles
Section 396	Frequency
Section 397	Receptacles or vehicles
Section 398	Community or individual facility
Section 429	Outdoor refuse areas; curbed and graded to drain

## 23. PHYSICAL FACILITY

### A. Floors, walls, ceilings: designed, constructed, maintained, clean

Section 267	Overhead protection on outdoor food vending areas
Section 399	Surface characteristics of materials for indoor area construction and repair
Section 400	Surface characteristics of materials for outdoor area construction and repair
Section 401	Installation and restrictions of floor carpeting
Section 402	Cleanability of floors, walls and ceilings
Section 403	Cleanability of floors, walls and ceilings relative to utility lines

Section 404	Cleanability of floors and wall junctures; coved, and closed or sealed
Section 405	Cleaning floors; dustless methods
Section 406	Mats and duckboards as floor coverings
Section 407	Wall and ceiling coverings and coatings
Section 408	Wall and ceiling attachments
Section 409	Exposure of wall and ceiling studs, joists and rafters
Section 427	Overhead protection on outdoor servicing areas
Section 430	Repairing premises, structures and attachments
Section 431	Physical structures; restrictions and frequency of cleaning
Section 434	Limitation of absorbent materials on floors

**B. Lighting, ventilation, dressing rooms; designated areas maintained**

Section 305	Ventilation hood systems; filters
Section 306	Ventilation hood systems; drip prevention
Section 307	Ventilation hood systems; adequacy
Section 308	Design of heating, ventilating and air conditioning system vents
Section 309	Mechanical ventilation
Section 310	Cleaning ventilation systems
Section 410	Functionality of light bulbs and protective shielding
Section 411	Lighting intensity
Section 417	Designation of dressing areas or lockers
Section 418	Designated employee areas

**C. Premises maintained free of litter, unnecessary articles, cleaning and maintenance equipment properly stored**

Section 355	Service sink
Section 402	Cleanability of floors, walls and ceilings
Section 425	Storing maintenance tools
Section 426	Maintaining premises of unnecessary items and litter

- Section 428 Outdoor walking and driving surfaces graded to drain
- Section 432 Cleaning maintenance tools and preventing contamination \*
- Section 433 Drying mops

**D. Complete separation from living and sleeping quarters; laundry**

- Section 311 Clothes washers and dryers
- Section 314 Use of laundry facilities
- Section 315 Equipment, clothes washers, dryers, and storage cabinets
- Section 423 Private homes and living or sleeping quarters; use prohibited
- Section 424 Separation of living or sleeping quarters

**24. PEST AND ANIMAL CONTROL**

**Presence of insects/rodents minimized \*, outer openings protected, animals as allowed**

- Section 412 Design and installation of insect control devices
- Section 413 Protected outer openings
- Section 414 Protective barriers on exterior walls and roofs
- Section 415 Controlling pests \*
- Section 416 Removing dead or trapped birds, insects, rodents, and other pests
- Section 435 Animal handling prohibited \*
- Section 436 Prohibiting animals \*

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**ANNEX 4**

**FOODBORNE ILLNESS INTERVENTIONS AND RISK FACTORS**

**1. DEMONSTRATION OF KNOWLEDGE**

**IN/OUT**

This item should be marked **IN** or **OUT** of compliance, with notes made concerning the reason it is marked **OUT** of compliance. The retail food establishment has two (2) options for compliance with this item. Inability to meet at least **ONE** of those options constitutes **OUT** of compliance.

Two (2) options for foodborne illness prevention training are allowed by the Rule. Compliance with any **ONE** of the following options is sufficient for a finding of "**IN**" COMPLIANCE with this item:

- a. Certification by an ACCREDITED PROGRAM; if exempt, then item "b" is required**
- b. Operation of the facility in compliance with Section 118 of the Rule. The effectiveness of the person in charge in protecting the health of the consumer is evidenced by the person's ability to apply the required knowledge to the establishment's operations by designing and implementing procedures that ensure continued compliance with the Rule. For the purposes of this procedure, compliance with the Rule means there are no critical items in violation, or if there are critical items violated, the PIC demonstrates knowledge by immediately taking action or making arrangements to correct the violation. The emphasis has to be made on the PIC having knowledge. For example, a critical item that is violated because the landlord failed to make a repair should not be marked against the PIC if he/she demonstrates knowledge of the violation and has made efforts to have it repaired. It is still a Rule violation, but not a failure of demo of knowledge. The candidate must determine that a critical item violation is due to lack of knowledge, not lack of willingness.**

**NA/NO**

Do not mark this item **NA** or **NO**.

## 2. EMPLOYEE HEALTH \*

### A. Management awareness and policy re: handling employee health situations

**IN/OUT** This item may be marked **IN or OUT** of compliance. To be **IN** compliance, the PIC must:

1. Be aware of the Rule provision that employees or applicants who have received a conditional offer of employment are required to report certain symptoms or diagnosed illnesses to the PIC, and
2. Convey knowledge of an employee health policy OR have access to an employee health policy (not necessarily written) stating what actions are necessary following a report that an employee has a certain symptom or diagnosed illness.

The policy must reflect the current Rule provisions. Verbal communication of the employee health policy must be specific to the types of illnesses and symptoms that require reporting. Nonspecific statements such as, "sick or ill employees are not allowed to work," are not acceptable as meeting this requirement.

If **OUT** of compliance, make appropriate notes on reason(s) for noncompliance.

**NA/NO** Do not mark this item **NA or NO**.

### B. Visible or known symptoms or known diagnoses dealt with according to the Rule

**IN/OUT** This item must be marked **IN or OUT** of compliance. To be **IN** compliance, item 2A must be determined to be **IN** compliance and the applicant determines during the inspection that no employees are ill or are experiencing symptoms that require reporting by the employee or action by the PIC.

If **OUT** of compliance, make notes as to why it is marked **OUT** of compliance.

**NA/NO** Do not mark this item **NA or NO**.

## 3. CONSUMER ADVISORY \*

**IN/OUT** This item should be marked **IN or OUT** of compliance with notes made concerning the reason it is marked **OUT** of compliance.

**NA** This item may be marked **NA** such as in the circumstance where a food establishment does not serve a RTE 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**.

#### 4. FOOD FROM APPROVED SOURCE

- A.** All food from regulated food processing plants; no home prepared or canned foods \*

**IN/OUT** This item should be marked **IN or OUT** of compliance with notes made concerning the reason it is marked **OUT** of compliance.

**NA/NO** Do not mark this item **NA or NO**.

- B.** All shellfish from NSSP listed sources; no recreationally caught shellfish received or sold \*

**IN/OUT** This item should be marked **IN or OUT** of compliance with notes made concerning the reason it is marked **OUT** of compliance.

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

**NO** This item may be marked **NO** also if shellstock 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.

- C.** **Game animals and wild mushrooms approved by regulatory authority \***

**IN/OUT** This item should be marked **IN or OUT** of compliance with notes made concerning the reason it is marked **OUT** of compliance.

**NA** This item may be marked **NA** such as when no game or wild mushrooms are offered at the establishment.

**NO** This item may be marked **NO** when wild game or 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.

- D.** **Food received at proper temperatures; protected from contamination during transportation and receiving; safe and unadulterated food \***

**IN/OUT** This item may be marked **IN or OUT** of compliance on any one of the listed items. If the food is safe and unadulterated, but you are not able to check any temperatures of food during receiving or are not able to determine the condition of foods transported, mark the item **IN** compliance with an explanation on the lines below as to what the **IN** represents. If one or all of the listed items are **OUT** of compliance, make appropriate notes as to why the item is marked out of compliance.

**NA/NO** Do not mark this item **NA or NO**.

**E. Shellstock tags retained for 90 days from the date the container is emptied \***

- IN/OUT** This item may be marked **IN** or **OUT** of compliance with notes made concerning the reason it is marked **OUT** of compliance.
- NA** This item may be marked **NA** such as when shellstock are not used in the establishment.
- NO** This item may be marked **NO** when shellstock have not been sold or used in the establishment in the past 90 days or you are unable to determine from invoices or purchase records whether shellstock was used or sold within the past 90 days.

**F. Written documentation of parasite destruction maintained for fish products for 90 days**

- IN/OUT** This item may be marked **IN** or **OUT** of compliance with notes made concerning the reason if it is marked **OUT** of compliance.
- NA** This item may be marked **NA** such as when raw, raw-marinated, or partially cooked fish (excluding tuna species listed in the Rule) are not used in the establishment.
- NO** This item may be marked **NO** if fish products of this type are a seasonal or occasional item and no fish products of this type are in the facility during visit and you are unable to determine compliance through purchase records, on-site documentation or invoices.

**5. TIME/TEMPERATURE CONTROLS**

**NOTE:** Cooking temperatures must be taken to make a determination of compliance or noncompliance. Do not rely upon discussions with managers or cooks to make a determination of compliance or noncompliance. If one food item is found out of temperature the item must be marked as **OUT** of compliance. If one food item is found out of cook temperature the item must be marked as **OUT** of compliance. If a food is cooked below the required Code temperature but the facility has an approved Consumer Advisory or an approved Variance with HACCP plan for that food item as provided for in paragraph 410-IAC-7-24-114 mark the item **IN** compliance, record the temperature and make a note regarding the reason for its **IN** compliance status.

### **5.1 Inadequate Cooking - Raw Animal Foods \***

- A. Raw eggs broken on request and prepared for immediate service, cooked to 145°F for 15 seconds. Raw eggs broken, but not prepared for immediate service, cooked to 155°F for 15 seconds**

**IN/OUT** This item should be marked **IN** or **OUT** of compliance with notes made concerning the reason it is marked **OUT** of compliance.

**NA** This item may be marked **NA** such as when raw eggs are not used 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.

- B. Comminuted fish, meat, cooked to 155°F for 15 seconds**

**IN/OUT** This item should be marked **IN** or **OUT** of compliance with notes made concerning the reason it 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.

- C. Pork roasts and beef roasts, including formed roasts, are cooked to 130°F for 112 minutes or as chart specified and according to oven parameters per chart**

**IN/OUT** This item may be marked **IN** or **OUT** of compliance for one or all of the types of meat with notes made concerning the reason it is marked **OUT** of compliance.

**NA** This item may be marked **NA** such as 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 for any of them.

- D. Injected meats cooked to 155°F for 15 seconds**

**IN/OUT** This item may be marked **IN** or **OUT** of compliance for one or all of the foods listed with notes made concerning the reason it is marked **OUT** of compliance.

**NA** This item may be marked **NA** such as 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 for any of them.

**E. Poultry; stuffed fish, meat, pasta, poultry, or stuffing containing fish, meat or poultry cooked to 165°F for 15 seconds**

**IN/OUT** This item may be marked **IN** or **OUT** of compliance for one or all of the types of poultry, meat or stuffed items with notes made concerning the reason it is **OUT** of compliance.

**NA** This item may be marked **NA** such as when poultry, meat 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 for any of them.

**F. Game animals cooked to 165°F for 15 seconds**

**IN/OUT** This item should be marked **IN** or **OUT** of compliance with notes made concerning the reason it is marked **OUT** of compliance.

**NA** This item may be marked **NA** such as when game animals are not cooked in the establishment.

**NO** This item may be marked **NO** such as when game animals are cooked, but you are unable to determine the cooking temperature for any of them.

**G. Whole-muscle, intact beefsteaks cooked to surface temperature of 145°F on top and bottom. Meat surfaces have a cooked color.**

**IN/OUT** This item should be marked **IN** or **OUT** of compliance with notes made concerning the reason it is marked **OUT** of compliance.

**NA** This item may be marked **NA** such as 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.

**H. Raw animal foods rotated, stirred, covered and heated to 165°F in microwave. Food must stand for two (2) minutes after cooking**

**IN/OUT** This item should be marked **IN** or **OUT** of compliance with notes made concerning the reason it is marked **OUT** of compliance.

**NA** This item may be marked **NA** such as 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 temperatures for any of them.

**I. All other raw animal food cooked to 145°F for 15 seconds**

- IN/OUT** This item may be marked **IN or OUT** of compliance with notes made concerning the reason if it is marked **OUT** of compliance.
- NA** This item may be marked **NA** such as when other PHFs not listed above are not 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.

**5.2 Reheating for Hot Holding\***

**NOTE:** Do not depend solely on discussions with management or cooks to determine the compliance status of reheat methods or target temperatures. Supplied information may be used to support or augment your direct observations.

**A. PHF are rapidly reheated to 165°F for 15 seconds**

- IN/OUT** This item should be marked **IN or OUT** of compliance with notes made concerning the reason it is marked **OUT** of compliance.
- NA** This item may be marked **NA** such as when foods are not held over for a second service. Explanatory notes should be made if this item is marked **NA**.
- NO** This item may be marked **NO** such as when foods are held over for a second service, but you are unable to check the reheating procedure. Do not depend on discussions with management or cooks to make a determination on this item.

**B. Food reheated to 165°F or higher in a microwave**

- IN/OUT** This item should be marked **IN or OUT** of compliance with notes made concerning the reason it is marked **OUT** of compliance.
- NA** This item may be marked **NA** such as 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.

**C. Commercially processed RTEF, if reheated, held at 140°F or above**

- IN/OUT** This item should be marked **IN or OUT** of compliance with notes made concerning the reason it is marked **OUT** of compliance.
- NA** This item may be marked **NA** such as when commercially processed RTEF are not reheated in the establishment.

- NO** This item may be marked **NO** such as when commercially processed RTEFs are reheated in the establishment, but you were unable to determine the reheat temperature.
- D. Remaining, unsliced portions of roasts are reheated for hot holding using minimum oven parameters**
- IN/OUT** This item should be marked **IN** or **OUT** of compliance with notes made concerning the reason it is marked **OUT** of compliance.
- NA** This item may be marked **NA** such as when remaining, unsliced portions of beef 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 in the establishment, but you were unable to determine the reheat temperature.

### 5.3 Treating Juice

**When packaged in a food establishment, juice is treated under a HACCP Plan to reduce pathogens or labeled as specified in the Rule.**

- IN/ OUT** This item should be marked **IN** or **OUT** of compliance, with notes made concerning the reason it is marked **OUT** of compliance.
- NA** This item may be marked **NA** when juice is not packaged in the food establishment.
- NO** Do not mark this item **NO**.

### 5.4 Cooling \*

**NOTE:** Remember, if one product is out of temperature, the item is marked **OUT** of compliance. Do not depend solely on discussions with management or food employee to determine the compliance status of cooling methods or target temperatures. Supplied information may be used to support or augment your direct observations

- A. Cooked PHF cooled from 135°F to 70°F within two (2) hours and from 70°F to 41°F or below within four (4) hours, continuous of six (6) hours total.**
- IN/OUT** This item should be marked **IN** or **OUT** of compliance with notes made concerning the reason it is marked **OUT** of compliance.
- NA** This item may be marked **NA** such as when the establishment is a cook-serve establishment type or does not cook or heat food.

**NO** This item may be marked **NO** such as when the establishment does cool PHF for a second service, but you were unable to determine the temperature and times.

**B. PHF (from ambient room temperature ingredients) cooled to 41°F or below within four (4) hours**

**IN/OUT** This item should be marked **IN or OUT** of compliance with notes made concerning the reason it is marked **OUT** of compliance.

**NA** This item may be marked **NA** such as when no PHFs are prepared from ambient room temperature ingredients.

**NO** This item may be marked **NO** such as when these foods are prepared, but you were unable to determine the temperature.

**C. Foods received at a temperature according to law are cooled to 41°F within four (4) hours**

**IN/OUT** This item should be marked **IN or OUT** of compliance with notes made concerning the reason it is marked **OUT** of compliance.

**NOTE:** When raw shell eggs are immediately placed under refrigeration capable of keeping foods at 41°F, satisfactory compliance is achieved. Federal regulations allow raw shell eggs be transported at 45° F or lower ambient air temperatures - cooling time does not apply to this item.

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

**NA** This item may be marked **NA** such as when the establishment does not receive eggs, shellstock, milk or other products that have a transport temperature above 41°F.

**NO** This item may be marked **NO** such as when the establishment does receive eggs, shellstock, milk or other products that have a transport temperature above 41°F, but you were unable to determine if these products were cooled down as described above.

**5.5 PHF Cold & Hot Holding \***

**NOTE:** The applicant should rely only on actual observations to mark section 5.5 of the inspection form.

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

This item should be marked **IN** or **OUT** of compliance with notes made concerning the reason it is marked **OUT** of compliance.

**NA/NO**

Do not mark this item **NA** or **NO**.

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

This item should be marked **IN** or **OUT** of compliance with notes made concerning the reason it is marked **OUT** of compliance.

**NA**

This item may only be marked **NA** such as when there is no PHF hot holding in the establishment.

**NO**

This item should be marked **NO** such as when you are unable to determine compliance. Inspections should be conducted during a time when hot holding temperatures can be taken.

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

This item should be marked **IN** or **OUT** of compliance with notes made concerning the reason it is marked **OUT** of compliance.

**NA**

This item may only be marked **NA** if roast is not a menu item.

**NO**

This item should be marked **NO** such as when you are unable to determine compliance. Inspections should be conducted during a time when hot holding temperatures can be taken.

**5.6 Date Marking & Discarding \*****A. Date marking for RTEF, PHF prepared on-site and opened commercial container held for more than 24 hours is clearly marked to indicate the date of consumption****IN/OUT**

This item should be marked **IN** or **OUT** of compliance with notes made concerning the reason it is marked **OUT** of compliance.

**NA**

This item may only be marked **NA** such as if there is no RTEF, PHF prepared-on-premises or opened commercial container held for more than 24 hours.

**NO**

This item should be marked **NO** such as when RTEF, PHF prepared-on-premises or an opened commercial container is held for more than 24

hours and you are unable to determine compliance. Do not depend on information from managers or cooks.

**B. Discarding of RTEF, PHF, prepared on-site/opened commercial container held at 41°F for more than seven (7) days: is not date marked; or is incorrectly date marked**

**IN/OUT** This item should be marked **IN or OUT** of compliance with notes made concerning the reason it is marked **OUT** of compliance.

**NA** This item may only be marked **NA** if there is no RTEF, PHF prepared-on-premises or opened commercial container held for more than seven (7) days at 41°F.

**NO** This item should be marked **NO** when RTEF, PHF is prepared-on-premises or opened commercial container is held beyond guidelines listed above and you are unable to determine compliance, or if 5.6(A) is marked **OUT** of compliance because date marking is not done.

**5.7 Time \***

**Time as a Public Health Control**

**IN/OUT** This item should be marked **IN or OUT** of compliance, with notes made concerning the reason it is marked **OUT** of compliance.

**NA** This item may only be marked **NA** such as when time is not used as the only public health control.

**NO** This item should be marked **NO** such as when time is used as the public health control but the time-controlled process is not in operation during the inspection and you are unable to determine compliance.

**6. FOOD & FOOD PREPARATION FOR HIGHLY SUSCEPTIBLE POPULATIONS (HSP) \***

**NOTE:** The PIC should be questioned regarding whether or not certain foods are offered for sale or certain practices occur in the establishment to mark Section 6 of the inspection form. One may rely solely on discussions with managers or food employees to determine the compliance status of these items.

**A. Only treated/pasteurized juice/juice beverage is served. Packages containing juice/beverage containing juice with a warning label (410 IAC-7-24-153) not served**

**IN/OUT** This item should be marked **IN or OUT** of compliance, with notes made concerning the reason it is marked **OUT** of compliance.

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

- NO** Do not mark this item **NO**.
- B. Use pasteurized eggs in recipes if eggs are undercooked; and if eggs are combined unless: cooked to order and immediately served; used immediately before baking and thoroughly cooked; or a HACCP plan controls *Salmonella enteritidis***
- IN/OUT** This item should be marked **IN or OUT** of compliance, with notes made concerning the reason it is marked **OUT** of compliance.
- NA** This item may be marked **NA** if a highly susceptible population is not served.
- NO** Do not mark this item **NO**
- C. Raw or partially cooked animal food and raw seed sprouts not served**
- IN/OUT** This item should be marked **IN or OUT** of compliance, with notes made concerning the reason it is marked **OUT** of compliance.
- NA** This item may be marked **NA** if no highly susceptible population is served.
- NO** Do not mark this item **NO**.
- D. Unopened food package not re-served**
- IN/OUT** This item should be marked **IN or OUT** of compliance with notes made concerning the reason it is marked **OUT** of compliance.
- NA** This item may be marked **NA** if a highly susceptible population is not served.
- NO** Do not mark this item **NO**.

**7. PROTECTION FROM CONTAMINATION \***

- A. Separating raw animal foods from raw RTEF and separating raw animal foods from cooked RTEF**
- IN/OUT** This item may be marked **IN or OUT** of compliance with notes made concerning the reason it is marked **OUT** of compliance.
- NA** This item may only be marked **NA** such as when there is only a vegetarian menu or only commercially precooked animal foods are used.
- NO** This item is marked **NO** when raw animal foods are used or served seasonally and you are unable to determine compliance.

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

**IN/OUT** This item may be marked **IN or OUT** of compliance with notes made concerning the reason it is marked **OUT** of compliance.

**NA** This item may be marked **NA** such as when there are no raw animal foods used or only one raw animal species is used.

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

**C. Food protected from environmental contamination - critical items\***

**IN/OUT** This item should be marked **IN or OUT** of compliance, with notes made concerning the reason it is marked **OUT** of compliance.

**NA/NO** Do not mark this item **NA or NO**.

**D. After being served or sold to a consumer, food is not re-served**

**IN/OUT** This item should be marked **IN or OUT** of compliance with notes made concerning the reason it is marked **OUT** of compliance. The actual observation of the disposition of unwrapped/unprotected, served food being returned to the kitchen must be made.

**NA/NO** Do not mark this item **NA or NO**.

**E. Discarding or reconditioning unsafe, adulterated or contaminated food**

**IN/OUT** In order to mark this item **OUT**, a finding must be made that food is unsafe, adulterated, not honestly presented, from an unapproved source, or RTEF is contaminated by employees. If a finding is not made, mark this item **IN** compliance. This item should be marked **IN or OUT** of compliance with notes made concerning the reason it is marked **OUT** of compliance.

**NA/NO** Do not mark this item **NA or NO**.

**8. FOOD-CONTACT SURFACES \***

**NOTE:** This item will require some judgment to be used when marking it **IN or OUT** of compliance. It should be marked **OUT** of compliance if observations are made that support a pattern of noncompliance with this item. One dirty utensil, food-contact surface, or one sanitizer container without sanitizer would not necessarily support an **OUT** of compliance mark. You must provide notes concerning the reason it is marked **OUT** of compliance.

**Food-contact surfaces and utensils are clean to sight and touch and sanitized before use**

**IN/OUT** This item should be marked **IN** or **OUT** of compliance with notes made concerning the reason it is marked **OUT** of compliance.

**NA/NO** Do not mark this item **NA** or **NO**.

**9. PROPER, ADEQUATE HANDWASHING \***

**NOTE:** 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.

**Hands clean and properly washed**

**IN/OUT** This item may be marked **IN** or **OUT** of compliance with notes made concerning the reason it is marked **OUT** of compliance. This item must be marked **OUT** of compliance if one person is observed with dirty hands or with hands that have not been properly washed.

**NA** Do not mark this item **NA**.

**NO** This item may be marked **NO** for retail operations only in the **RARE** case where an observation can not be made because no food workers are present to observe.

**10. GOOD HYGIENIC PRACTICES \***

**NOTE:** One should rely only on actual observations to mark section 10

**Food employees eat, drink and use tobacco only in designated areas; do not use a utensil more than once to taste food that is sold or served; do not handle or care for animals present. Food employees experiencing persistent sneezing, coughing or runny nose do not work with exposed food, clean equipment, utensils, linens, unwrapped single-service or single-use articles \***

**IN/OUT** This item may be marked **IN** or **OUT** of compliance with notes made concerning the reason it is marked **OUT** of compliance. This item must be marked **OUT** of compliance if one person is observed to be out of compliance with this item.

**NA** Do not mark this item **NA**.

**NO** This item may be marked **NO** for retail operation only in the case where no food workers are present.

## 11. PREVENTION OF CONTAMINATION FROM HANDS \*

**NOTE:** One should rely only on actual observations to mark section 11

**Exposed, RTEF not touched by bare hands and utensils used when possible**

**IN/OUT** This item may be marked **IN or OUT** of compliance with notes made concerning the reason it is marked **OUT** of compliance. This item must be marked **OUT** of compliance if one person is observed to be out of compliance with this item.

**NA** This item may be marked **NA** for facilities that do not prepare RTEF.

**NO** This item may be marked **NO** for retail operations that prepare RTEF only in the case where no food workers are present.

## 12. HANDWASH FACILITIES

## A. Handwash facilities conveniently located and accessible for employees \*

**IN/OUT** This item may be marked **IN or OUT of compliance** with notes made concerning the reason it is marked **OUT** of compliance.

**NA/NO** Do not mark this item **NA or NO**.

## B. Handwash facilities supplied with hand cleanser; sanitary towels; hand drying devices

**IN/OUT** This item may be marked **IN or OUT** of compliance with notes made concerning the reason it is marked **OUT** of compliance.

**NA/NO** Do not mark this item **NA or NO**.

## 13. CHEMICAL

## A. Use of Additives \*

**IN/OUT** If additives are used, this item is marked **IN** compliance if only approved food or color additives are used and used properly, or if sulfites are on the premises, and they are not applied to fresh fruits/vegetables for raw consumption. This item is marked **OUT** of compliance if unapproved additives are found on premises, or approved additives are improperly used, such as if sulfites are applied to fresh fruits or vegetables.

**NA** This item is marked **NA** if the food establishment does not use (approved or unapproved) additives or sulfites on the premises.

**NO** Do not mark this item **NO**.

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

**IN/OUT** This item may be marked **IN or OUT** of compliance with notes made concerning the reason it is marked **OUT** of compliance. It may be marked **OUT** of compliance for improper storage or use of any one of the listed items.

**NA/NO** Do not mark this item **NA or NO**.

**C. Poisonous or toxic materials held for retail sale properly stored \***

**IN/OUT** This item may be marked **IN or OUT** of compliance with notes made concerning the reason it is marked **OUT** of compliance.

**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**.

**14. CONFORMANCE WITH APPROVED/REQUIRED PROCEDURES\***

**A. Reduced Oxygen Packaging (ROP) with 2 Barriers - Required HACCP plan \***

**IN/ OUT** This item should be marked **IN or OUT** of compliance, with notes made concerning the reason it is marked **OUT** of compliance.

**NA** This item may be marked **NA** such as when the facility does not do ROP.

**NO** Do Not Mark This Item **NO**.

**GOOD RETAIL PRACTICES****15. PERSONNEL****Personnel cleanliness (fingernails, jewelry, outer clothing, hair restraints)**

**IN/OUT** This item may be marked **IN** or **OUT** of compliance with notes made concerning the reason it is marked **OUT** of compliance. It may be marked **OUT** of compliance for improper storage or use of any one of the items.

**NA** Do not mark this item **NA** unless the establishment has no employees, uses only prepackaged food, or is strictly a vending operation.

**NO** Do not mark this item **NO**.

**16. FOOD & FOOD PROTECTION****A. Food source \*, original container, properly labeled, condition, used \*, honestly presented \*, segregated distressed products**

**IN/OUT** This item may be marked **IN** or **OUT** of compliance with notes made concerning the reason it is marked **OUT** of compliance.

**NA/NO** Do not mark this item **NA** or **NO**.

**B. Plant food cooking for hot holding**

**IN/OUT** This item may be marked **IN** or **OUT** of compliance with notes made concerning the reason it is marked **OUT** of compliance.

**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.

**C. Protection from contamination - (noncritical items)**

**IN/OUT** This item should be marked **IN** or **OUT** of compliance with notes made concerning the reason it is marked **OUT** of compliance.

**NA/NO** Do not mark this item **NA** or **NO**.

**D. Facilities; equipment to control product temperature**

**IN/OUT** This item should be marked **IN** or **OUT** of compliance with notes made concerning the reason it is marked **OUT** of compliance.

**NA/NO** Do not mark this item **NA** or **NO**.

**E. Facilities/cooling methods/equipment to control product temperature**

**IN/OUT** This item should be marked **IN or OUT** of compliance, with notes made concerning the reason it is marked **OUT** of compliance. Intent is to determine that adequate hot/cold holding, and heating/cooling equipment and procedures are in place. Do not mark equipment repair items here.

**NA/NO** Do not mark this item **NA or NO**.

**F. PHF properly thawed**

**IN/OUT** This item should be marked **IN or OUT** of compliance, with notes made concerning the reason it is marked **OUT** of compliance.

**NA** This item may be marked **NA** if PHFs are not thawed.

**NO** This item may be marked **NO** if PHFs are thawed, but thawing was not observed during the inspection.

**F. Dispensing of food; utensils properly stored**

**IN/OUT** This item may be marked **IN or OUT** of compliance on any one of the listed items. If one of the items is **OUT** of compliance, make notes concerning the reason it is marked **OUT** of compliance.

**NA/NO** Do not mark this item **NA or NO**.

**17. FOOD EQUIPMENT****A. Thermometers provided and conspicuous**

**IN/OUT** This item should be marked **IN or OUT** of compliance with notes made concerning the reason it is marked **OUT** of compliance.

**NA/NO** Do not mark this item **NA or NO**.

**B. Food-contact and nonfood-contact surfaces: designed, constructed \*, maintained, installed, located, operated, cleanable \***

**IN/OUT** This item should be marked **IN or OUT** of compliance, with notes made concerning the reason it is marked **OUT** of compliance. Include refrigeration/cooking/holding equipment that does not maintain temperature or other food/nonfood surfaces or equipment that is not maintained/operated.

**NA/NO** Do not mark this item **NA or NO**.

**C. Warewashing facility: designed, constructed, installed, located, operated, cleanable, used**

(Accurate thermometers, chemical test kits provided, gauge cock)

**IN/OUT** This item should be marked **IN or OUT** of compliance with notes made concerning the reason it is marked **OUT** of compliance.**NA/NO** Do not mark this item **NA or NO**.**D. Wiping cloths, linens, napkins, gloves, sponges: properly used, stored****IN/OUT** This item should be marked **IN or OUT** of compliance, with notes made concerning the reason it is marked **OUT** of compliance.**NA/NO** Do not mark this item **NA or NO**.**E. Storage, handling of clean equipment, utensils****IN/OUT** This item should be marked **IN or OUT** of compliance with notes made concerning the reason it is marked **OUT** of compliance.**NA/NO** Do not mark this item **NA or NO**.**F. Single-service/single-use articles: storage, dispensing, use, no reuse.****IN/OUT** This item should be marked **IN or OUT** of compliance with notes made concerning the reason it is marked **OUT** of compliance.**NA/NO** Do not mark this item **NA or NO**.**18. WATER**

Safe water source \*, hot &amp; cold under pressure, adequate quantity\*

**IN/OUT** This item should be marked **IN or OUT** of compliance with notes made concerning the reason it is marked **OUT** of compliance.**NA/NO** Do not mark this item **NA or NO**.**19. PLUMBING****A. Installed, maintained \*****IN/OUT** This item should be marked **IN or OUT** of compliance with notes made concerning the reason it is marked **OUT** of compliance.**NA/NO** Do not mark this item **NA or NO**.

**B. Cross connection \*, backsiphonage prevention \***

**IN/OUT** This item should be marked **IN** or **OUT** of compliance with notes made concerning the reason it is marked **OUT** of compliance.

**NA/NO** Do not mark this item **NA** or **NO**.

**20. TOILET FACILITIES****A. Number, convenient, accessible, designed, installed**

**IN/OUT** This item should be marked **IN** or **OUT** of compliance with notes made concerning the reason it is marked **OUT** of compliance.

**NA/NO** Do not mark this item **NA** or **NO**.

**C. Toilet rooms enclosed, self-closing doors; fixtures, good repair, clean proper waste receptacles**

**IN/OUT** This item should be marked **IN** or **OUT** of compliance with notes made concerning the reason it is marked **OUT** of compliance.

**NA/NO** Do not mark this item **NA** or **NO**.

**21. SEWAGE \*****Sewage and waste water disposal**

**IN/OUT** This item should be marked **IN** or **OUT** of compliance with notes made concerning the reason it is marked **OUT** of compliance.

**NA/NO** Do not mark this item **NA** or **NO**.

**22. GARBAGE AND REFUSE DISPOSAL****Containers or receptacles: covered, adequate number, insect/rodent proof, frequency of removal, clean, area properly constructed, necessary implements, supplies**

**IN/OUT** This item should be marked **IN** or **OUT** of compliance with notes made concerning the reason it is marked **OUT** of compliance.

**NA/NO** Do not mark this item **NA** or **NO**.

**22. PHYSICAL FACILITY****A. Floors, walls, ceilings: designed, constructed, maintained, clean**

**IN/OUT** This item should be marked **IN** or **OUT** of compliance with notes made concerning the reason it is marked **OUT** of compliance.

**NA/NO** Do not mark this item **NA** or **NO**.

**B. Lighting, ventilation, dressing rooms, designated areas maintained**

**IN/OUT** This item should be marked **IN or OUT** of compliance with notes made concerning the reason it is marked **OUT** of compliance.

**NA/NO** Do not mark this item **NA or NO**.

**C. Premises maintained free of litter, unnecessary articles, cleaning and maintenance equipment properly stored**

**IN/OUT** This item should be marked **IN or OUT** of compliance with notes made concerning the reason it is marked **OUT** of compliance.

**NA/NO** Do not mark this item **NA or NO**.

**D. Complete separation from living/sleeping quarters; laundry**

**IN/OUT** This item should be marked **IN or OUT** of compliance with notes made concerning the reason it is marked **OUT** of compliance.

**NA/NO** Do not mark this item **NA or NO**.

**24. PEST AND ANIMAL CONTROL**

Presence of insects/rodents minimized\*, outer openings protected, animals as allowed

**IN/OUT** This item should be marked **IN or OUT** of compliance with notes made concerning the reason it is marked **OUT** of compliance.

**NA/NO** Do not mark this item **NA or NO**.

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**Annex 5**

Establishment Name:		Menu Type:	
City:		Person-in-Charge:	
Date:	Applicant's Name:		
Agency:	Trainer's Name:		

Based on this day's inspection, the following uncontrolled hazards known to contribute to foodborne illness were identified: (uncontrolled hazards include the occurrence of any risk factor or lack of public health interventions as described in the Rule).

<b>Risk Factors Identified/ Corrective Action Required</b>				
<b>OBSERVATION</b>	<b>UNCONTROLLED PROCESS STEP OR CCP</b>	<b>HAZARD (most common)</b>	<b>CLS</b>	<b>CORRECTIVE ACTION WHEN LIMITS ARE NOT MET</b>
1.				
2.				
3.				
4.				

## RISK CONTROL PLAN (SAMPLE)

Establishment Name: Hamburger Heaven		Menu Type: Fast Food (risk category 3)	
City: Anywhere		Person-in-Charge: Sam Jones	
Date: 7/25/99	Applicant's name: Jane Smith		
Agency: State Health Dept.	Trainer's Name: George Harris		

Based on this day's inspection, the following uncontrolled hazards known to contribute to foodborne illness were identified: (uncontrolled hazards include the occurrence of any risk factor or lack of public health interventions as described in the Rule).

<b>RISK FACTORS IDENTIFIED/ CORRECTIVE ACTION REQUIRED</b>				
<b>OBSERVATION</b>	<b>UNCONTROLLED PROCESS STEP OR CCP</b>	<b>HAZARD (most common)</b>	<b>CLS</b>	<b>CORRECTIVE ACTION WHEN LIMITS ARE NOT MET</b>
1. Hamburger cooked to 130 °F on grill	Cooking Section 182 (2C)	<i>Salmonella</i> ; <i>E.coli</i>	155 °F	Continue to cook until temperature is met
2. Yesterday's chili is reheated to 145 °F	Reheating Section 188 (a)	Spore formers ( <i>C. perfringens</i> )	165 °F	Continue to reheat until temperature is met or discard
3. Employees do not wash their hands between working with raw and cooked foods	Cross contamination Section 129 (8)	<i>Salmonella</i> <i>E. coli</i> <i>Listeria</i>	Employees must wash hands between working with raw and cooked foods	Employees must wash hands; review of handwashing training tapes is mandatory
4.				

**The following risk control plan will be implemented to establish active managerial control of the identified uncontrolled hazards.** *(For unmet CLs, the plan delineates what needs to be controlled and how it will be controlled, along with necessary records and responsible personnel. It will also indicate what training is necessary).*

**Plan for Hazard #1 – Cooking temperature of hamburgers**

Temperature checks of hamburger patties will be taken on the first batch of hamburgers cooked. Sam Jones will record the temperatures on his production chart. Hamburgers with a temperature below 155°F will be returned to the grill for further cooking to internal temperature of 155°F. Temperature records will be faxed to Jane Smith each Friday for four (4) weeks.

**Plan for Hazard #2 – Reheat of leftover chili for hot holding**

Leftover chili will be reheated on the stove. Sam Jones will check the temperature of the chili before placing it on the steam table. The temperatures will be recorded on his production chart. Chili with a temperature below 165°F will be placed back on the stove until it reaches 165°F. The records will be held for Jane Smith's review during her visit on 8/26/99.

**Plan for Hazard #3 – Proper handwashing**

All employees will review the handwashing training tapes provided by the health department. Sam Jones will keep a record of those employees who have reviewed the tapes. Employees will keep a record each time they wash their hands for one (1) week. Sam Jones will monitor and maintain this record. On 8/26/99, this record will be mailed to Jane Smith.

As the person-in-charge of the **Hamburger Heaven** located at **1234 Anywhere Street**, I have reviewed and understand the provisions of this voluntary RCP from **7/26/99** to **8/26/99**.

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**Indiana State Department of Health**  
State Form 50933 (R/6-05)  
**Food Protection Program**  
HACCP Plan Verification Worksheet

Annex 6

**Annex 6**

NOTE: This document is for optional use only and is not a requirement for the standardization procedure.

Establishment Name:		Menu Type:	
City:		Person-in-Charge:	
Date:	Applicant's Name:		
Agency:	Trainer's Name:		

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

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

Describe: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

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

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

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

CCPs	CLs

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

Annex 6

Type of Record	Monitoring Frequency	Record Location

5. Record compliance under *Standardization Inspection Report (Annex 2)*. Are monitoring actions performed according to the plan?

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

Describe in the *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.

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

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

Describe: \_\_\_\_\_

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Additional Comments:

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

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**Indiana State Department of Health**  
**State Form 50934 (5-02)**  
 Food Protection Program  
 HACCP Plan Verification Summary

**Annex 7**

NOTE: This document is for optional use only, and is not a requirement for the standardization procedure.

Establishment Name:		Menu Type:	
City:		Person-in-Charge:	
Date:	Applicant's Name:		
Agency:	Trainer's Name:		

<b>HACCP PLAN VERIFICATION SUMMARY</b>			
	Record #1	Record #2	Record #3
	Today's Date	2 <sup>nd</sup> Selected Date	3 <sup>rd</sup> Selected Date
<b>Required Monitoring Recorded<sup>1</sup></b>	Yes/No	Yes/No	Yes/No
<b>Accurate and Consistent<sup>2</sup></b>	Yes/No	Yes/No	Yes/No
<b>Corrective Action Documented<sup>3</sup></b>	Yes/No	Yes/No	Yes/No
Total # of record answers that are in disagreement with the trainer = _____ (this box for completion by trainer only)			

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

1. Does the retail food establishment's HACCP documentation indicate that required monitoring was recorded on the three (3) selected dates? A "Yes" answer indicates 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 retail 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 three (3) selected dates? A "Yes" answer would indicate that corrective action was documented for each CL not met for each of the three (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.



**Scoring Form and Instruction for Scoring and Determining Performance  
State Form 50935 (R/6-05)  
Indiana State Department of Health  
Food Protection Program**

**Annex 8**

The purpose of the following chart is to tally the disagreement between the candidate's and the trainer's responses on the *Standardization Inspection Report (Annex 2)*. The trainer determines whether the candidate properly identified and categorized violative conditions on each of the Interventions/Risk Factors and the GRPs portions of the *Standardization Inspection Report*. The trainer may mark an item "D" 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 trainer would alert the candidate to the missed opportunity.

<b>PERFORMANCE CRITERIA TALLY OF DISAGREEMENTS IN EACH ESTABLISHMENT</b>									
Candidate's Name:					Trainer's Name:				
Date:		Location of Standardization:							
<b>ESTABLISHMENTS</b>									
Performance Area	1	2	3	4	5	6	7	8	Total (1-8) or Total (1-6)
<b>Risk-Based Inspection</b>									
<b>Good Retail Practices</b>									

**RISK-BASED INSPECTION:**

To pass this section, the candidate must achieve an average score of 90% (no more than 43 disagreements for all eight (8) establishments) with no more than 11 disagreements on any given establishment.

**STEP 1.** Determine the number of disagreements per establishment and record it in the Performance Criteria Tally of Disagreements.

If the number of disagreements/establishment is <12, proceed to **STEP 2.**

If the disagreements/establishment are  $\geq 12$ , stop inspections. Candidate fails.

**SCORING FORM AND INSTRUCTIONS FOR SCORING  
AND DETERMINING PERFORMANCE**

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

If the disagreements are  $\leq 43$  for eight (8) establishments, the candidate passes.

If the disagreements are  $> 43$  for eight (8) establishments, the candidate fails.

If the disagreements are  $\leq 32$  for six (6) establishments, the candidate passes.

If the disagreements are  $> 32$  for six (6) establishments, the candidate fails.

**GOOD RETAIL PRACTICES:**

To pass this section, the candidate must achieve an average of 85 % (no more than 30 disagreements for all eight (8) establishments) and have no more than five (5) disagreements on GRPs on any given establishment.

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

If the disagreements/establishment are  $< 6$ , proceed to **STEP 2.**

If the disagreements/establishment are  $\geq 6$ , stop inspections. Candidate fails.

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

If the disagreements are  $\leq 30$  for eight (8) establishments, the candidate passes.

If the disagreements are  $> 30$  for eight (8) establishments, the candidate fails.

If the disagreements are  $\leq 22$  for six (6) establishments, the candidate passes.

If the disagreements are  $> 22$  for six (6) establishments, the candidate fails.

## Sample Performance Criteria Tally of Disagreements in Each Establishment

**(EXAMPLE #1)**

<b>PERFORMANCE CRITERIA TALLY OF DISAGREEMENTS IN EACH ESTABLISHMENT (SAMPLE)</b>									
Applicant's Name: Jane Smith					Trainer's Name: George Harris				
Date: 7/25/99		Location of Standardization: Brookville, IN							
<b>ESTABLISHMENTS</b>									
Performance Area	1	2	3	4	5	6	7	8	Total (1-8) or Total (1-6)
<b>Risk-Based Inspection</b>	9	11	10	5	2	2	3	1	43
<b>Good Retail Practices</b>	3	2	2	5	3	3	2	2	22

In this example, the candidate passes both the Risk-Based Inspection and the GRPs 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.

## Sample Performance Criteria Tally of Disagreements in Each Establishment

**(EXAMPLE #2)**

<b>PERFORMANCE CRITERIA TALLY OF DISAGREEMENTS IN EACH ESTABLISHMENT (SAMPLE)</b>									
Candidate's Name: Jane Smith					Trainer's Name: George Harris				
Date: 7/25/99		Location of Standardization: Brookville, IN							
<b>ESTABLISHMENTS</b>									
Performance Area	1	2	3	4	5	6	7	8	Total (1-8) or Total (1-6)
<b>Risk-Based Inspection</b>	11	11	12						
<b>Good Retail Practices</b>	6	5	4						

In this example, 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 (2) facilities and exceeded this maximum number of disagreements in the third establishment.



Indiana State Department of Health  
 State Form 50936 (R/6-05)  
 Food Protection Program  
 Applicant's Final Performance Score

Annex 9

## Annex 9

Candidate's Name:		Title:		
Agency:		Office Telephone Number:		
Office Address:		City:	State:	Zip:
Trainer's Name:		Title:		
Agency:	Office Telephone Number:	Location of Standardization:		
Office Address:		City:	State:	Zip:
<b>Instruction: For the following Performance Areas circle the Level of Agreement.</b>				
<b>Performance Area</b>	<b>Level of Agreement</b>			
<b>1. Risk-Based Inspection</b>	<b>Passes</b>	<b>Fails</b>		
<b>2. GRPs</b>	<b>Passes</b>	<b>Fails</b>		
<b>3. Application of HACCP Principles</b>	<b>Satisfactory</b>	<b>Unsatisfactory</b>		
<b>a. Process Flow Chart</b>	<b>Satisfactory</b>	<b>Unsatisfactory</b>		
<b>b. Risk Control Plan</b>	<b>Satisfactory</b>	<b>Unsatisfactory</b>		
<b>c. Verification of HACCP plan</b>	<b>Satisfactory</b>	<b>Unsatisfactory</b>		
<b>d. (Initial Certification only) Statement of HACCP principle</b>	<b>Satisfactory</b>	<b>Unsatisfactory</b>		
<b>4. Inspection Equipment</b>	<b>Satisfactory</b>	<b>Needs Improvement</b>		
<b>5. Communications</b>	<b>Satisfactory</b>	<b>Needs Improvement</b>		

Comments:

Name (Print): \_\_\_\_\_ Date: \_\_\_\_\_

Trainer's Signature: \_\_\_\_\_

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## Annex 10

<b>FDA Standardized Inspection/Training Officers</b>	<b>Organization</b>	<b>E-mail Address</b>
<b>Lisa Harrison</b>	ISDH - Food Protection	<a href="mailto:lharriso@isdh.in.gov">lharriso@isdh.in.gov</a>
<b>Cindy Hochholter</b>	Marion CHD	<a href="mailto:chochhalter@hncorp.org">chochhalter@hncorp.org</a>
<b>Daniel Miller</b>	ISDH - Food Protection	<a href="mailto:dmiller@isdh.in.gov">dmiller@isdh.in.gov</a>
<b>State Standardized Inspection/Training Officers</b>	<b>Organization</b>	<b>E-mail Address</b>
<b>Steven Allen</b>	ISDH - Food Protection	<a href="mailto:sallen@isdh.in.gov">sallen@isdh.in.gov</a>
<b>Albert Daeger</b>	ISDH - Long Term Care	<a href="mailto:sdaeger@isdh.in.gov">sdaeger@isdh.in.gov</a>
<b>Mark Mattox</b>	ISDH - Food Protection	<a href="mailto:mmattox@isdh.in.gov">mmattox@isdh.in.gov</a>

## PARTICIPATING COUNTIES

<b>Counties/Agencies Participating in Standardization 6/11</b>
Adams
Bartholomew
Boone
Brown
Clark
Delaware
Elkhart
Grant
Hamilton
Hendricks
Howard
Indiana University
Jefferson
Lake
LaPorte
Lawrence
Marion
Marshall
Monroe
Montgomery
Morgan
Porter
Pulaski
Spencer
St. Joseph
ISDH
Tippecanoe
Tipton
Vanderburgh
Wayne

<b>Indiana Standardized Inspection Officers 6/11</b>			
<b>Last Name</b>	<b>First Name</b>	<b>Candidates</b>	<b>Agency</b>
Allen	Steve		ISDH
Asbury	Jennifer		Montgomery CHD
Barnes	Audrey		Jefferson CHD
Beard	Larry		Hamilton CHD
Bentfield	Douglas		Clark CHD
Borowiecki	Christian		Vanderburgh CHD
Brennan	J. Devin		Hendricks CHD
Brown	Lynnette		Wayne CHD
Buckles	Lana		La Porte CHD
Chandler	Lisa		Hendricks CHD
Click	Krista		Hendricks CHD
Cross	Joe		Howard CHD
Culver-Pekney	Melissa		Tippecanoe CHD
Cummins	Brenda		Lawrence CHD
Daeger	Albert		ISDH
Danao	Stanley	Candidate	ISDH
Dang	Yen		Howard CHD
Hochhalter	Cindy		Marion CHD
Hooton	Rita		St. Joseph CHD
Hoover	Mike		Elkhart CHD
Howard	Jason	Candidate	Wayne CHD
Linderman	Mark	Candidate	Wayne CHD
Lindley	Laura		Clark CHD
Madden	Rhonda	Candidate	ISDH
Mattox	Mark		ISDH
Markley	Craig		Wayne CHD
Mayer	Sharon		Hendricks CHD
McKeen	Graham		Indiana University
Modglin	Shane		Indiana University
Pattee	Sharon		Boone CHD
Paul	Sheila		Porter CHD
Pyke	Nolan		Tipton CHD
Rekers	Jennifer	Candidate	Brown CHD
Rider	Richard		Grant CHD
Sanders	Aaron		Bartholomew CHD
Schmidlapp	Dean		Marshall CHD
Schmidt	Rhett		Marion CHD
Small	Staci		Marion CHD

Indiana Standardized Inspection Officers 6/11			
Last Name	First Name	Candidate	Agency
Smith	Lynnette		ISDH
Smith	Carolyn		St. Joseph CHD
Sommers	Kristina	Candidate	Tipton CHD
Spaulding	Joe		Adams CHD
Stallings	Kim		Spencer CHD
Troxell	Terry		Delaware CHD
Wallace	Sandy		Monroe CHD
Ziegler	Ken		ISDH

## Sample Certificate

### ***INDIANA STATE DEPARTMENT OF HEALTH FOOD PROTECTION PROGRAM***

*This is to certify that*

*has satisfactorily demonstrated competence to interpret and apply the provisions  
of Retail Food Establishment Sanitation Requirements 410 IAC 7-24 and is  
hereby entitled to inclusion in the list published by the  
ISDH Food Protection Program as a*

***Standardized Food Program Inspection Officer***

*Date of Issuance:*

*Expiration Date:*

***FDA Standardized Training Officer:*** \_\_\_\_\_



Indiana State  
Department of Health

State Form 51299 (3-03)

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***Procedures for  
Standardization  
and  
Certification  
of Retail  
Inspection/Training  
Officers***

**2005**

*(revised July 2011)*



Indiana State  
Department of Health  
An Equal Opportunity Employer

**Food Protection Program  
2 North Meridian Street  
Indianapolis, IN 46204**

