**MANAGING FOOD SAFETY:**

**A Regulator’s Guide**

**For APPLYING HACCP PRINCIPLES**

**TO RiSK-BASED**

**Retail AND FOOD SERVICE InspectionS**

**Risk Control Plan (RCP) -** a concisely written management plan developed by the retail or food service operator with input from the health inspector that describes a management system for controlling specific out-of-control risk factors**.**

**Risk Control Plans (RCP) –** An RCP is intended to be a voluntary strategy that you and the person in charge jointly develop to promote long-term compliance for *specific* out-of-control risk factors. For example, if food is improperly cooled in the establishment, a system of monitoring and record keeping outlined in an RCP can ensure that new procedures are established to adequately cool the food in the future. By implementing basic control systems over a period of time (e.g., 30 days), it is likely that the new controls will become "habits" that continue.

An RCP should stress simple control measures that can be integrated into the daily routine. It should be brief, no more than one or two pages for a single risk factor, and address the following points in very specific terms:

1. What is the risk factor to be controlled?
2. How is the risk factor controlled?
3. Who is responsible for the control?
4. What monitoring, corrective action, and record keeping is required?
5. Who is responsible for monitoring and completing records?
6. How long is the plan to continue?
7. How are the results of the RCP to be communicated to you?

By implementing an RCP, the retail or food service operator will have the opportunity to determine the appropriate corrective action for the identified problem and design an implementation strategy to best suit their facility and operation. You will work with the operator in the development and implementation of the plan. By creating an RCP, the operator realizes that a problem exists in their food safety management system and commits to a specific correction plan rather than merely acknowledging a single violation. An example of an RCP is found in Annex 5 of this Guide.

**Annex 5 - Sample Risk Control Plan**

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| **Risk Control Plan for Turkey Vegetable Soup** | | | | | | | | |
| **Establishment Name:** ABC Establishment | | | | | | **Type of Facility:** Full Service | | |
| **Physical Address:** 123 Any Street | | | | | | **Person in Charge:** John Doe | | |
| **City:** Any City | | **State:** Any State | | | **Zip:** 00000 | | **County:** Any County | |
| **Inspection Time In:**  9:00 a.m. | **Inspection Time Out:**  12:30 p.m. | | **Date:**  July 12, 2001 | **Inspector’s Name:** Jane Doe | | | | |
| **Agency:**  Your jurisdiction | | | | | | | |

Observation: Temperature of turkey vegetable soup in walk-in cooler was 65o F after cooling in the walk-in all night (12 hours).

Violation: *Food Code* Section 3-501.14 – Soup not cooled from 140o F - 41o F in 6 hours or less

Risk Factor To Be Controlled: Improper Holding Temperatures (Cooling)

How the Risk Factor Will Be Controlled: Cool from 140 to 410F within 6 hours provided that food is cooled from 140 to 700F in < 2 hours.

What Monitoring, Corrective Actions, and Record Keeping are required:

Conduct a Trial Run

The head chef will portion soup at a temperature of 1400 F in cleaned and sanitized 3-inch metal pans, and place them uncovered in the coolest, protected area of the walk-in cooler. He will record the time on the “Time-Temperature Log.” Two hours later, the temperature of the soup will be checked and recorded. If the temperature of the soup is not 700 F or less, the soup will be reheated to 1650 F, and the trial run will be restarted in an ice bath. When the temperature is 700 F or less within 2 hours, the time and temperature will be recorded, and cooling will continue. Four hours later, the temperature of the soup will again be checked and recorded. If the soup is 410 F or less, the cooling procedure will be established. If the soup is not 410 F or less, it will be discarded and other cooling options will be used (see below).

Procedure

When there is less than one gallon of soup left over at the end of the day, the head chef will log the volume and disposition of the soup. When the volume is greater than one gallon, the established procedure will be followed. The head chef will complete the Temperature Log daily for 30 days. The general manager will review the log weekly for completeness and adherence to the procedure. The log will be available for review by the regulatory authority upon request.

**Other options that may be suggested to the operator include: purchasing a data logger to record cooling overnight; discarding any leftover soup at the end of the day; using chill sticks/ice paddles; using a ice bath to cool leftovers prior to storage; and purchasing a blast chiller.**