

RECORD-KEEPING PROCEDURES

R. Schmidt

Univ. of Florida

Gainesville, FL

**PRINCIPLE 7: ESTABLISH RECORD-
KEEPING AND DOCUMENTATION
PROCEDURES**

WHY KEEP RECORDS?

- **PROVIDE EVIDENCE OF PROCEDURES TO CONTROL HAZARDS**
- **DOCUMENTATION OF HAZARD CONTROL**
- **UNCLUTTERED VIEW OF PRODUCT SAFETY ISSUES.**

HACCP RECORD CATEGORIES

- **SUMMARY OF HAZARD ANALYSIS**
- **HACCP PLAN**
- **SUPPORT DOCUMENTATION**
 - **PREREQUISITE PROGRAMS**
 - **WHERE REQUIRED**
 - **CCP AND CL DOCUMENTATION**
 - **MONITORING**
 - **CORRECTIVE ACTIONS**
 - **VERIFICATION**

HAZARD ANALYSIS

- **WRITTEN HAZARD ANALYSIS NARRATIVE AND WORKSHEET**

HACCP PLAN

- **APPROPRIATE INFORMATION AND DATA USED TO DEVELOP PLAN**
- **PRELIMINARY STEPS**
- **FLOW CHART**
- **HACCP TEAM**
 - **RESPONSIBILITIES**

SUPPORT DOCUMENTATION

PREREQUISITE PROGRAMS

- **SSOPS**
 - **SPECIFIED AND REQUIRED UNDER REGULATORY HACCP PROGRAMS**
- **OTHER PROGRAMS DEEMED APPROPRIATE**
 - **ESPECIALLY WHEN USED TO CONTROL HAZARD**

CRITICAL CONTROL POINT RECORDS

- **ANY SUPPORT DOCUMENTATION DEEMED APPROPRIATE**
- **CCPs IDENTIFIED ON FLOW CHART**
- **DECISION TREE OR OTHER DOCUMENTS SHOWING HOW DETERMINED**

CRITICAL LIMITS

- **SUPPORT DOCUMENTATION**
 - **RESULTS OF EXPERIMENTS/STUDIES**
 - **LITERATURE INFORMATION**
 - **PERTINENT ARTICLES, ETC.**
 - **REGULATORY INFORMATION**

MONITORING RECORDS SHOULD CONTAIN

- **FORM TITLE**
- **FIRM NAME AND LOCATION**
- **TIME AND DATE**
- **PRODUCT IDENTIFICATION**
 - **INCLUDE TYPE, SIZE, CODE, ETC**
- **ACTUAL OBSERVATION OR MEASUREMENT**
- **CRITICAL LIMIT**
- **OPERATOR SIGNATURE/INITIALS**
- **REVIEWER SIGNATURE/INITIALS**
- **DATE OF REVIEW**

MONITORING RECORDS

- **SHOULD BE DONE AT TIME OBSERVATIONS MADE**
- **NO PENCIL WHIPPING.**

CORRECTIVE ACTION RECORDS

- **PRODUCT IDENTIFICATION**
- **DESCRIPTION OF DEVIATION**
- **CORRECTIVE ACTION TAKEN**
 - **INCL. FINAL DISPOSITION OF PRODUCT**
- **NAME OF RESPONSIBLE INDIVIDUAL(S)**
- **RESULTS OF EVALUATION WHEN APPROPRIATE AND NECESSARY**

VERIFICATION RECORDS SHOULD INCLUDE

- **ANY MODIFICATION OF PLAN**
- **PROCESSOR AUDIT RECORDS**
- **SUPPLIER AUDIT RECORDS**
- **RESULTS OF MICRO AND CHEM TESTING**
- **RESULTS OF IN-HOUSE (and Out house)
INSPECTIONS**
- **RESULTS OF EQUIPMENT EVALUATION AND
CALIBRATION**
- **VALIDATION RECORDS**
 - **CHALLENGE STUDIES, ETC.**

COMPUTERIZED RECORDS

- **ARE AN OPTION**
- **AUTHENTICATION CONTROLS**
 - **PROTECTED FROM UNAUTHORIZED CHANGES**

RECORD REVIEW

- **REVIEW IN TIMELY MANNER**
- **SIGNED, INITIALED AND DATED**

RECORD RETENTION

- **REGULATORY REQUIREMENTS**

REGULATORY ACCESS TO RECORDS

- **SPECIFIED IN REGULATIONS**

RECORDS REQUIRED BY REGULATORY

FDA HACCP

- **WRITTEN HAZARD ANALYSIS**
- **DOCUMENTATION OF PRODUCT AND INTENDED USE**
- **WRITTEN HACCP PLAN**
- **CCP AND CL SUPPORT DOCUMENTS**
- **MONITORING**
- **INSTRUMENT CALIBRATION**
- **CORRECTIVE ACTION RECORDS**
- **VERIFICATION RECORDS**

USDA/FSIS MEAT AND POULTRY HACCP

- **WRITTEN HAZARD ANALYSIS**
- **FLOW CHART**
- **DOCUMENTATION OF PRODUCT AND INTENDED USE**
- **WRITTEN HACCP PLAN**
- **CCP AND CL, SUPPORT DOCUMENTS**
- **MONITORING**
- **INSTRUMENT CALIBRATION**
- **CORRECTIVE ACTION RECORDS**
- **VERIFICATION RECORDS**
- **PRODUCT INFORMATION**
 - **CODES, ETC.**
- **RECORDS RELATING TO ADEQUACY OF EQUIPMENT OR PROCESSES**