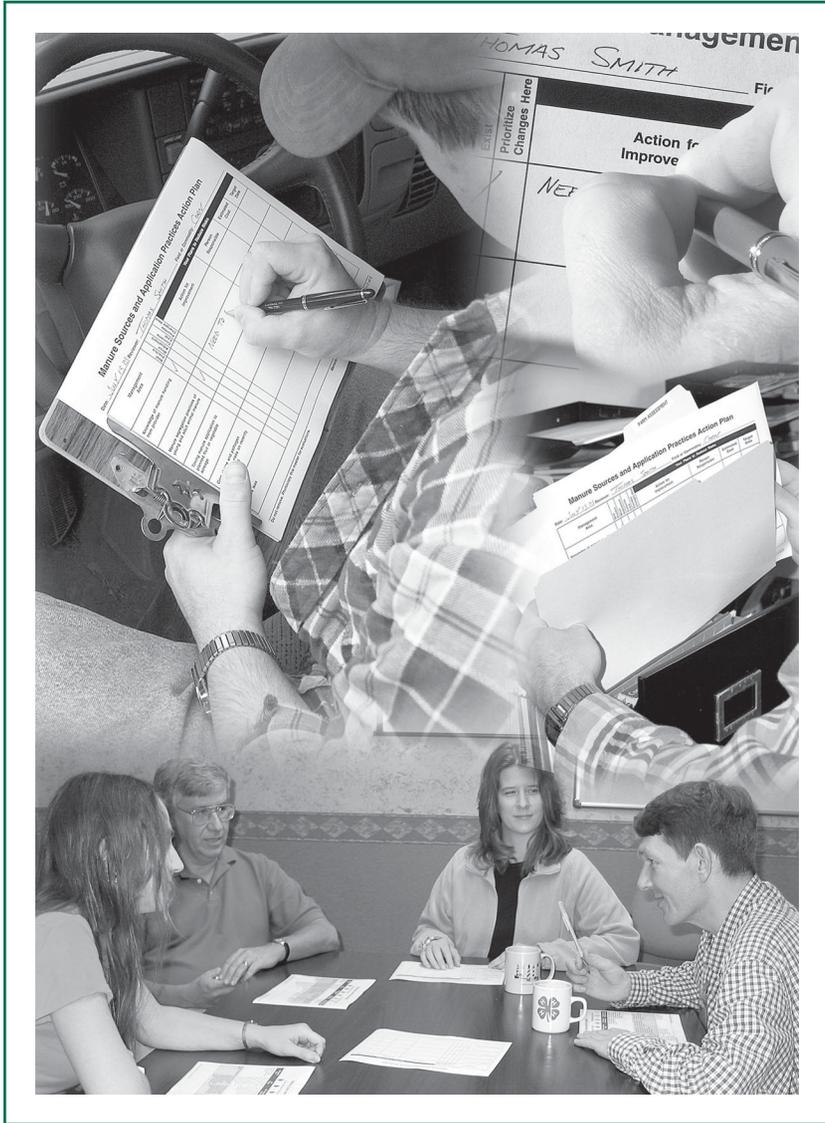


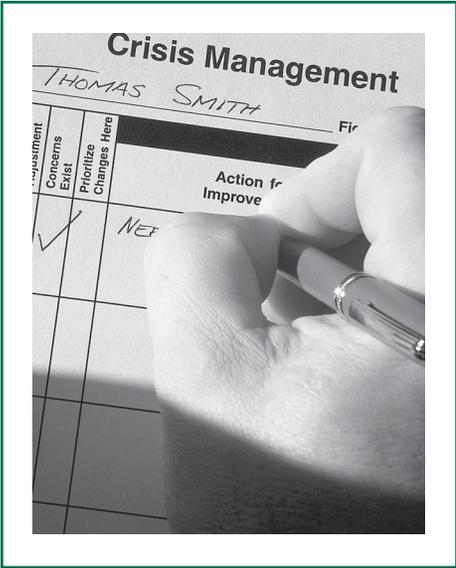
## Food Safety Begins on the Farm: A Grower Self Assessment of Food Safety Risks



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# Record Keeping

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# The Importance of Record Keeping

Keeping records of all farm operations is very important, especially when it comes to food safety. With today's complex food system, fresh produce rarely moves directly from the grower to the consumer, but is often handled many times before it reaches the market and is consumed. When foodborne illness outbreaks occur, attempts are made to trace the contamination back to the point of origin. Documenting manure use, water test results, worker health, worker training programs, building sanitation, and equipment maintenance may provide important data in determining the origin of the contamination. Showing due diligence is good business and may prove contamination did not originate on your farm.

Documentation highlights a grower's commitment to produce safety by reducing microbial risks to fruits and vegetables. Examples of good record keeping include:

- a. A product flow diagram that describes movement of a commodity from the field to the farm gate including harvest practices, post harvest handling, storage and transportation.
- b. Checklists that document and verify your standard operating procedures. They may be as simple as recording toilet and hand washing facility cleaning or more complicated processes such as monitoring and recording worker health status (see the end of this section for an example checklist).

- c. Records that trace fruits and vegetables from the field to the buyer. They should include field location, production practices, harvest date, harvester information, storage duration, transportation and buyer information.

Record keeping is also a valuable business tool. Many buyers are requiring third party audits of their suppliers. Good records facilitate ease of auditing by buyers and independent third party auditing firms. In terms of meeting the requirements of auditors, the need for record keeping cannot be over emphasized. Developing record keeping strategies and implementing them to record GAPs will likely be the most difficult and time-consuming part of your food safety program, but it is very important. If your actions are not documented there is no way to verify they were done.

This record keeping icon is placed throughout this assessment to emphasize and reinforce the importance of record keeping.



**Worker Hygiene Training**

Good Agricultural Practices      Practices Requiring Attention

Management Area	Description	Your Plans to Reduce Risks					
		Self-Monitoring	Adjustment	Action for Improvement	Person Responsible	Estimated Cost	Target Date
Worker training on hand washing and personal hygiene for food safety	All work training on hygiene daily AA training appropriate						
Management of worker training programs on food safety and personal hygiene	Design manage response training consist trainers frequent and ass workers training each see act as it practice handles						
On-farm posted signage instructing workers of personal hygiene requirements	Signs at workers facilities wash the facilities						
On-farm posted signage instructing workers of personal hygiene requirements	Signage in appropriate languages for non-English speaking workers						
Worker illness reporting							

Date: \_\_\_\_\_ Reviewer: \_\_\_\_\_ Field or Commodity: \_\_\_\_\_

Page 1      Do not remove. Photocopy this master for evaluations.      Page 1

# Record Keeping

## Good Agricultural Practices

## Practices Requiring Attention



Management Area	Best Practice	Minor Adjustments Needed	Concerns Exist; Examine Practice	Needs Improvement: Prioritize Changes Here
<b>Record keeping</b> 	Farm records demonstrate adherence to SOPs and scheduled protocols, such as monitoring of restrooms, worker training, product coding, postharvest sanitation, etc. <b>AND</b> when variation in protocols occur, they are noted in the records <b>AND</b> all farm records are verified by management and kept on file.	Records of all farm practices are maintained, current, and verified by management. These records demonstrate the farm adherence to SOPs and scheduled protocols, however, lack of adherence to protocols are not recorded in farm records.	Records of farm practices are maintained for some management areas, but not for all applicable to the farm.	No records are kept that demonstrate farm adherence to standard operating procedures or protocols.
<b>Product identification</b>	Each piece or container of produce shipped from the farm is coded to allow the farm management to trace it from the field of origin to the distributor. The coded lot numbers are included on the bill of lading.	Each piece or container of produce shipped from the farm is coded to allow the farm management to trace it from the field of origin to the distributor.	Coding of produce and record keeping is completed for only certain commodities shipped from the farm. Not all lots can be traced back to field of origin.	There is no method in place to identify lots <b>OR</b> to trace them back to the field of origin.

# Record Keeping

## Good Agricultural Practices

## Practices Requiring Attention



Management Area	Best Practice	Minor Adjustments Needed	Concerns Exist; Examine Practice	Needs Improvement: Prioritize Changes Here
<b>Annual food safety self assessments</b>	This or other farm food safety self assessments are performed annually, at a minimum. Records are kept of the results of the self-assessments and include action plans and dates of implementation.	This is the first time that a farm food safety self-assessment has been completed. This self assessment will be repeated annually, at a minimum.		There is no plan to repeat this or other self-assessments annually <b>OR</b> to make continuous improvements to farm management for food safety risks.
<b>Written recall plan</b>	A recall plan is written, updated and reviewed regularly by farm management and employees. Copies of the plan are filed with farm support services including lawyers and distributors.	A recall plan is written, updated and routinely reviewed by farm management and employees, but farm support services do not have a copy.	A recall plan has been discussed but is not written and no review or training has occurred with employees.	There has been no discussion of a recall plan among farm management.
<b>Recall plan contents</b>	The written recall plan includes names of employees to serve as recall team leaders, process for notification of the public and regulatory agencies, procedures for implementing the recall, strategies for handling recalled produce and methods for verifying recall plan effectiveness.		A recall plan has been discussed including who would be responsible for critical areas, but strategies for handling the recalled produce or testing the plans effectiveness have not been written down.	There has been no discussion of a recall plan among farm management.

# Record Keeping

## Good Agricultural Practices

## Practices Requiring Attention



Management Area	Best Practice	Minor Adjustments Needed	Concerns Exist; Examine Practice	Needs Improvement: Prioritize Changes Here
<b>Notification contacts in case of a recall</b>	The recall plan includes current phone and fax numbers for key farm personnel, produce buyers and distributors and farm support agencies. Notification will include description of produce and container size of affected lots. Notification will include requests that all contacted parties reply to the notice.	The recall plan includes phone and fax numbers for key farm personnel, produce buyers and distributors and farm support agencies. Notification procedures and responses are not specifically spelled out in the plan.	Several aspects of a recall notification strategy have been discussed but not written down.	There is no plan to notify important contacts, including the public in the event a recall.
<b>Mock recall and traceback verification</b>	A mock recall has been conducted on the farm to test the recall strategy and verify traceback procedures.		A recall plan has been discussed, but no mock or testing program of the plan has been implemented.	There has been no discussion of a recall response plan among farm management.
<b>Records of customer complaints related to food safety or quality</b>	There have never been customer complaints about produce food safety or quality <b>OR</b> records are kept of customer complaints. These records include farm responses and any remedial actions taken to fix the problem.	Records are kept of customer complaints, but do not include farm responses or remedial actions.		Records are not kept of customer complaints related to produce safety or quality.



# Record Keeping Action Plan

Date: \_\_\_\_\_ Reviewer: \_\_\_\_\_ Field or Commodity: \_\_\_\_\_

Management Area					Your Plans to Reduce Risks			
					Action for Improvement	Person Responsible	Estimated Cost	Target Date
Record keeping								
Product identification								
Annual food safety self assessments								
Written recall plan								
Recall plan contents								

# Record Keeping Action Plan

Date: \_\_\_\_\_ Reviewer: \_\_\_\_\_ Field or Commodity: \_\_\_\_\_

Management Area					Your Plans to Reduce Risks			
					Action for Improvement	Person Responsible	Estimated Cost	Target Date
Notification contacts in case of a recall								
Mock recall and traceback verification								
Records of customer complaints related to food safety or quality								

# Check Sheet for Field Toilets, Hand Washing Facilities, Drinking Water and Safety Kit

	Toilet & Hand Washing Facilities		Water		Soap		Paper Towels		Toilet Paper		Trash Can		Drinking Water		Single Use Cups		First Aid Kit				
	Date																				

Sheet Reviewed by: \_\_\_\_\_ on \_\_\_\_\_  
(Management) (Date)