Records Lesson

1. Policy
   - 1.1. A written procedure in the site documenting responsibilities for completing records (e.g., monitoring records, inspection, test records, etc.) and identifying those responsible for verifying the records are developed.
   - 1.2. Records are retained under secure conditions as required by customer specifications and legislation.
   - 1.3. Employees responsible for monitoring and recording activities are aware of the importance of maintaining all records in a clear and legible manner and the importance of recording the information when the activity is performed.
   - 1.4. Records that are meant to be collected periodically at established intervals for testing or auditing are collected per their frequency.
   - 1.5. The site ensures that staff responsible for verifying food safety records sign and date each record they review as part of their verification activities.
   - 1.6. The site has the means to manage electronic security of records, electronic signatures of monitors, reviewers, and electronic review means.
   - 1.7. The methods and responsibilities for ensuring the safety and accuracy of electronic records and documents are documented and implemented.
   - 1.8. On paper-based records, correction fluid to address corrections is not recommended. A line through the inaccurate recording with accurate recording and initials of the monitor is recommended.

2. Procedure
   - 2.1. Records
     - 2.1.1. Processing operations recorded on forms are clear, concise, legible, and accurate.
     - 2.1.2. Records are stored so as not to be damaged to be retrieved for investigation purposes. Storage can be electronic or paper-based.
     - 2.1.3. SQF Code states that records are suitably authorized and are stored as required by the corporation, customer, or legislation.
     - 2.1.4. Records are retained by the Quality Department and applicable departments as required by customer specifications and legislation.
       - 2.1.4.1. Refer to *Document Control Program*
     - 2.1.5. Employees responsible for monitoring and recording activities are made aware of the importance of maintaining all records in a clear and legible manner and the importance of recording the information when the activity is performed.
     - 2.1.6. The employees responsible for monitoring critical food safety points (CCPs, CQPs) in the process are required to sign the record indicating the entry and the date it was made (or electronically authorize the entry). In addition, the staff responsible for verifying food safety records sign and date each record they review as part of their verification activities (refer to SQF 2.5.4). These responsibilities and actions are documented in the procedure and applicable forms.
     - 2.1.7. Electronic records, when used, are acceptable. The facility server maintains electronic records and a printed copy is maintained by Quality Department to ensure accuracy.
     - 2.1.8. On paper-based records, refer to *Document Control Program.*
   - 2.2. Completion of Records
     - 2.2.1. The following departments and personnel are responsible for completing the applicable records.
       - 2.2.1.1. Product Development Records
         - 2.2.1.1.1. Operations Manager
       - 2.2.1.2. Packaging Check Records
         - 2.2.1.2.1. Quality Department

2.2.1.3. Monitoring Records
2.2.1.3.1. Quality Personnel
2.2.1.4. Testing Records
2.2.1.4.1. Quality Personnel
2.2.1.5. Auditing
2.2.1.5.1. Compliance Personnel
2.2.1.6. Verification of Records
2.2.1.6.1. SQF Practitioner or Compliance
2.2.1.7. Retrieving and Storage
2.2.1.7.1. Quality Personnel

2.3. Retention of Records
2.3.1. Records are retained by the Quality Department and applicable departments as required by customer specifications and legislation.
2.3.1.1. Refer to *Document Control Program.*
2.3.2. Auditing and/or verification records are retained indefinitely for electronic records or in the paper-based paper record.
2.3.3. Facility Records, such as maintenance records and service contracts, are retained indefinitely while the company is at the facility location.
2.3.4. Other records such as accounting, finance, personnel training records, and legal contracts are retained for a minimum of 2 to 7 years and up to the maximum allowable by law of 10 years.
2.3.5. On paper-based records, refer to *Document Control Program*. Paper records are maintained and readily available for a minimum of 3 years.
2.3.6. Retention records are kept by legislation, customer requirements, or insurance coverage. Apart from those requirements, the general rule is to retain records for the commercial shelf-life of the product (i.e., the maximum time before consumption). For short shelf-life products, records are retained beyond the next recertification audit, as a minimum.
2.3.6.1. Refer to *Document Control Program.*

3. Responsibility
3.1. The Quality Department controls all document changes and modifications proposed and subsequently implemented. The Quality Manager or Supervisor is responsible for the amendment and approval of all specifications, including periodic document reviews to ensure system efficacy.
3.2. Amendments are processed through change control records.
3.3. Monitoring Activities
3.3.1. Quality Department Personnel
3.4. Verification Activities
3.4.1. Quality Department Personnel
3.5. Maintenance of Records
3.5.1. Quality Department and Compliance
3.6. Retaining Records
3.6.1. Quality Department

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4. Corrective Action
4.1. Any inefficiencies detected in complying with the Records Program shall be addressed immediately by the FSMS management and shall be reviewed based on the Document Control Program.
4.2. In the event of corrupted electronic records and paper-based records being present, electronic records shall be manually recorded based on the paper-based documents.
4.3. For inconsistencies in the results of inspections, analyses, and other essential activities that require monitoring and records, the staff responsible for the verification and review of the document shall be questioned.

5. Review – Quality
    5.1. Documented procedures define the methods and responsibilities for monitoring critical control points and other activities necessary to maintain food safety and accurately and legibly recording results.
    5.2. Documented procedures define the methods and responsibilities for verifying monitoring activities and accurately and legibly recording results.
    5.3. Documented procedures define the methods and responsibilities for testing and/or auditing activities and accurately and legibly record results.
    5.4. Accurate and legible records for all required activities.
    5.5. Understanding actions required when recorded results show deviations from required values (e.g., outside critical limits).
    5.6. Records are securely stored and accessible.

6. History

Revision No.:	Revision Date:	Description of Change:	Originator / Author Name:	Title / Department:
0	20220719	Original	Arnel Ryan	PCQI / Compliance

Requirements:

(1) The trainee has read or received a verbal translation of all or part of the policy, procedure, method, and or SOP for which they are being trained.
(2) The trainee has demonstrated the task they are to perform or the procedure for which they are being trained as required.
(3) The trainee has demonstrated the ability to perform the task with acceptable proficiency and with minimal supervision as required.