

Recordkeeping and Traceability

Good recordkeeping to track profitability, inform decision making.

2002 Bio Terrorism Act

- Where did you get it from?
- Where did you ship it to?

Traceback Is A Not Recall

TRACEBACK is a System: an unbroken record of documentation
RECALL is an Action: what you do when there is a problem

Trace“ability”
T“race”ability
Traceabi“lity”

Required Reports From Your Business Records

VOLUME OF RECALLED PRODUCT:	BUSINESS RECORDS:
Total quantity PRODUCED DATE(s) produced	PRODUCTION
Quantity DISTRIBUTED DATE(s) distributed	SALES
Quantity RETURNED	RETURNS
Estimate AMOUNT REMAINING @ distributor level	SHIPPING
How is product being QUARANTINED?	WHOLESALE/RETAIL

Traceback Plans

Your **Traceback Plan** should demonstrate the ability to trace back and forward by lot through the supply chain.

Two-way information flow

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graph LR
    Field --> Grower --> Packer --> Distribution_center --> Retailer --> Consumer
    subgraph Trace-back
        Consumer --> Retailer
        Retailer --> Distribution_center
        Distribution_center --> Packer
        Packer --> Grower
        Grower --> Field
    end
    subgraph Trace-forward
        Field --> Grower
        Grower --> Packer
        Packer --> Distribution_center
        Distribution_center --> Retailer
        Retailer --> Consumer
    end
    
```

Back
ID, input/production practices, post harvest

Forward
Who bought, when, how much

Production/Business Records Do Double Duty

- Field maps
- Land history
- Seed lots/source
- Manure/compost
- Harvest records
- Cleaning records
- Sales records
- Worker time cards

- Start with organic record keeping requirements
- Add additional information based on learning needs
- Add food safety (cleaning/monitoring)

Design Record Keeping for Success

- Avoid duplication
- Document as part of work, not a separate activity
- Instruct staff at the same time as record keeping
- Improve staff performance and accountability

Record keeping needs to be routine – a habit – like brushing your teeth.

DATE	FIELD	HARVEST	POST HARVEST									
			Cleaning			COOLING			STORAGE			
CROP	#	Goal	Actual	Wash	Spray	Pack	Water	Room	Ice	Room	Refrigerator	Truck
CORN	El6	75	158	65	NONE							
Green Beans	40A	60	162									
Collard greens	40D	30	34									
Green Peas	40A	60	63									



Work With Your Record Keepers' Strengths

Water Monitor Log

Product being washed	Date	Time	Water Temp	pH	Pho Test results from dip strip	Conductivity
Green Beans	9/10	9:13	45	6.5	70 ppm	Ad 74

29 ACRE

Significantly Raised the Risk of Listeria M.:

- Irrigating fields within three days of harvest
- Cultivating fields within a week of harvest

June 2013

Sunday	Monday	Tuesday	Wednesday	Thursday	Friday	Saturday
						1
		4	5	6	7	8
		11	12	13	14	15
		18	19	20	21	22

Cornell University

Follow The Money

Ex: Food borne illness can be seed borne

IFFT: If This Than That

Cleaning Record Strategies

- Utilize service contracts (SOP)
- Create records that instruct

Lot Numbers & Traceability

Account For Product – One Step Forward / One Step Back

Traceability is a system.

Lot Numbers & Traceability

Allows you to trace each specific box/carton :

ON A LABEL:

- Name and address of the farm (phone)
- Commodity
- Variety
- Pack/Size

IN A LOT NUMBER:

- Location of the growing area
- Harvest Date
- Harvest Crew
- Packing Date/Crew
- Shipping Date

GTIN Number

<http://www.produce-traceability.org/>
<https://www.foodlogiq.com/> (free, print on Avery)

No Food Safety audit programs or regulations REQUIRE a technology based system

THARO V-SERIES PRINTERS

Lot Numbers & Traceability

Make sure your traceability system is described in your food safety plan!

Lot Number For A Direct Market Farm

GH5 PCB 7151G BB NM 5

Traceability and Carton Labels

Step 1. Map all production fields or greenhouses, and assign numbers to identify specific growing areas.

Step 2. Using a labeling gun, mark all produce packages with the date and location of harvest.

Step 3. Put the harvest date and location I.D. on each invoice.

Traceability and Retail Sales

What is working? What is missing?

URBANFARMING

Checklist #1 - Farmer's Market Sheet

Market Date: _____
 Market Name: _____
 Notes on the Day: _____

Cash Beginning		
Cash Ending		
Total Earned		

Crop	Price/Unit	Units	No. Units (Beginning)	No. Units (Ending)	Units Sold	Time Sold Out
Arugula						
Beet greens						
Bok Choy						

What is working? What is missing?

Sample 8b: CSA Weekly Box (Tuesday pick-ups)

Week of: 9/23/03

Vegetable/Fruit	Amount
Apples, Red delicious	3 lb.
Apples, Yellow delicious	2 lb.
Basil, sweet	1 bunch
Beans, green	1 lb.
Beans, yellow	½ lb.
Carrots	1 lb.

What is working? What is missing?

Sample 8c: CSA Weekly Pick-up Record

Delivery Month: June

CSA Member	Pick-up Location	6/3/03	6/10/03
Adams, Jim and Linda	350 Oak Ave, Winona	✓	
Bates, John and Mary	"	✓	
Collins, Ted and Brenda	"	✓	
Darby, Richard	225 Washington St, Winona	✓	
Jackson, Art and Lorraine	"	✓	


Lot Tracking: Product Identification at Harvest

Policy: All containers of harvested produce leaving the field must be labeled with field and date lot numbers.

The Bottom Line

- **Start with good recordkeeping.** This will help you put traceability into action and enable you to develop a recall plan.
- **Designate one person** to be in charge of your traceability program.
- For smaller-scale production and fewer markets, go low-tech.
- Even if you go high-tech, have a back-up plan for when the printer jams...

FSMA Record Keeping Requirements
Document created 11.21.15 by Atina Diffley and Jo Anne Ba



SUBPART O - GENERAL RECORDKEEPING REQUIREMENTS
Apply to all record keeping requirements, with exceptions for Qualified Ex

The general record keeping standards require records to include:

- Name and location of the farm
- Actual values and observations collected during monitoring activities
- An adequate description of the produce applicable to the record (e.g., or other identifier, such as a lot number)
- Location of the growing area or other area applicable to the record
- Date and time that an activity was performed or observed.

The records must be:

- Taken at the time an activity is performed or observed
- Must be accurate and legible
- Must be dated and signed by the person doing the activity

BREAKOUT

1. On the FSMA Record Keeping Requirements document, identify what Produce Rule required records you already are keeping.
2. Are there other records you want to keep?
3. For records not being kept,
 - identify which you want to add keeping
 - is there a system already it could be added to?
 - what system do you want for keeping it?

FSMA Record Keeping Requirements
Document created 11.21.15 by Atina Diffley and Jo Anne Baumgartner on the just released Produce Rule

SUBPART O - GENERAL RECORDKEEPING REQUIREMENTS
Apply to all record keeping requirements, with exceptions for Qualified Exemptions

The general record keeping standards require records to include:

Where must I store records?

- (a) Offsite storage of records is permitted if such records can be retrieved and provided onsite within 24 hours of request for official review.
- (b) Electronic records are considered to be onsite if they are accessible from an onsite location at your farm.

How long must I keep records?



- At least 2 years past the date the record was created.
- Records to satisfy the criteria for a qualified exemption, (3 years preceding the applicable calendar year) must be retained as long as necessary to support the farm's status during the applicable calendar year.
- Records that relate to the general adequacy of the equipment or processes or records that relate to analyses, sampling, or action plans being used by a farm, including the results of scientific studies, tests, and evaluations, must be retained at the farm for at least 2 years after the use of such equipment or processes, or records related to analyses, sampling, or action plans, is discontinued.

Your Recall Plan should clearly define responsible parties and critical actions in the event of an incident.

Establish Procedures:

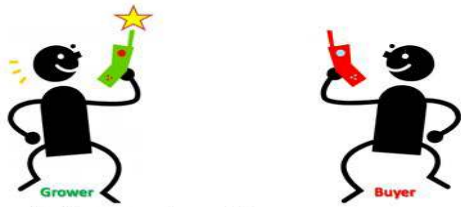
1. Who is in charge: names, contact info and duties
2. Description of lot tracking system
3. Timeline and process for alerting buyers
4. List of resources with contact information: buyers and suppliers, St Health Dep, St Ag Dept, extension, media, testing labs, lawyers, medical personnel, grower association available to help

www.atinadiffley.com
www.onfarmfoodsafety.org/forms-and-templates/



Two Volunteers Please To The Front Of The Room

Mock Recall – Day 1



- how simple a mock recall can be
- can serve as a relationship building tool
- demonstrates the importance of trace systems

Mock Recall – Day 1 Penn State Extension 2012



Grower: “Will you help us out by participating in this year’s mock recall exercise? This is NOT a real recall. We are just tracking some of our product to check our traceability.”
Buyer: “Sure! Of course! WOW! I wish all our growers had traceback and recall plans. How does a mock recall work?”


Mock Recall – Day 1 Penn State Extension 2012



Grower: “We’ll make our usual shipment to your store tomorrow. The day after, I’ll call you and ask how much of that shipment is still at your location.”
Buyer: “Ok, we’ll be ready for you.”


Mock Recall – Day 2 Penn State Extension 2012

There are two parties in this transaction – they both have duties




The produce is shipped by the grower
The product is received by the buyer

Mock Recall – Day 3 Penn State Extension 2012



Grower: “Hello, this is _____ from ___ farm. Calling about the MOCK recall exercise.”
Buyer: “Hi. Thanks for setting up this process. What’s next? By the way, that was beautiful produce you sent.”

Mock Recall – Day 3 Penn State Extension 2012



Grower: Thanks! Could you tell me how many boxes you have already sold and how many remain at your location? The lot number on the box label is “6.15.16 E9 00 66 ”
Buyer: “Sure. According to our records, we received 20 boxes, sold 12 and have 8 on site.”

