



Food and Agriculture Organization
of the United Nations

HACCP – STEP 12, PRINCIPLE 7

DOCUMENTATION AND RECORD-KEEPING

FAO Good Hygiene Practices (GHP) and
Hazard Analysis and Critical Control Point
(HACCP) Toolbox for Food Safety

HACCP – STEP 12, PRINCIPLE 7

DOCUMENTATION AND RECORD-KEEPING

FAO Good Hygiene Practices (GHP) and
Hazard Analysis and Critical Control Point
(HACCP) Toolbox for Food Safety

Required citation:

FAO. 2023. *Documentation and record-keeping – Step 12, Principle 7*. FAO Good Hygiene Practices (GHP) and Hazard Analysis and Critical Control Point (HACCP) Toolbox for Food Safety. Rome. <https://doi.org/10.4060/cc6276en>

The designations employed and the presentation of material in this information product do not imply the expression of any opinion whatsoever on the part of the Food and Agriculture Organization of the United Nations (FAO) concerning the legal or development status of any country, territory, city or area or of its authorities, or concerning the delimitation of its frontiers or boundaries. The mention of specific companies or products of manufacturers, whether or not these have been patented, does not imply that these have been endorsed or recommended by FAO in preference to others of a similar nature that are not mentioned.

© FAO, 2023



Some rights reserved. This work is made available under the Creative Commons Attribution-NonCommercial-ShareAlike 3.0 IGO licence (CC BY-NC-SA 3.0 IGO; <https://creativecommons.org/licenses/by-nc-sa/3.0/igo/legalcode>).

Under the terms of this licence, this work may be copied, redistributed and adapted for non-commercial purposes, provided that the work is appropriately cited. In any use of this work, there should be no suggestion that FAO endorses any specific organization, products or services. The use of the FAO logo is not permitted. If the work is adapted, then it must be licensed under the same or equivalent Creative Commons licence. If a translation of this work is created, it must include the following disclaimer along with the required citation: “This translation was not created by the Food and Agriculture Organization of the United Nations (FAO). FAO is not responsible for the content or accuracy of this translation. The original [Language] edition shall be the authoritative edition.”

Disputes arising under the licence that cannot be settled amicably will be resolved by mediation and arbitration as described in Article 8 of the licence except as otherwise provided herein. The applicable mediation rules will be the mediation rules of the World Intellectual Property Organization <http://www.wipo.int/amc/en/mediation/rules> and any arbitration will be conducted in accordance with the Arbitration Rules of the United Nations Commission on International Trade Law (UNCITRAL).

Third-party materials. Users wishing to reuse material from this work that is attributed to a third party, such as tables, figures or images, are responsible for determining whether permission is needed for that reuse and for obtaining permission from the copyright holder. The risk of claims resulting from infringement of any third-party-owned component in the work rests solely with the user.

Sales, rights and licensing. FAO information products are available on the FAO website (www.fao.org/publications) and can be purchased through publications-sales@fao.org. Requests for commercial use should be submitted via: www.fao.org/contact-us/licence-request. Queries regarding rights and licensing should be submitted to: copyright@fao.org.

CONTENTS

INTRODUCTION	1
CONTEXT	2
HACCP STEP 12	3
EXERCISE: FOOD SAFETY FOR THOUGHT	8
KEEP READING	9

Technical note for readers

This PDF file has been designed for use of handheld mobile devices in horizontal view.

This PDF file includes interactive options and links to better browse the document. Clicking on the title icon on the top right corner of each page will bring you either the Content page or the Mind map within the PDF file.

DOCUMENTATION AND RECORD-KEEPING

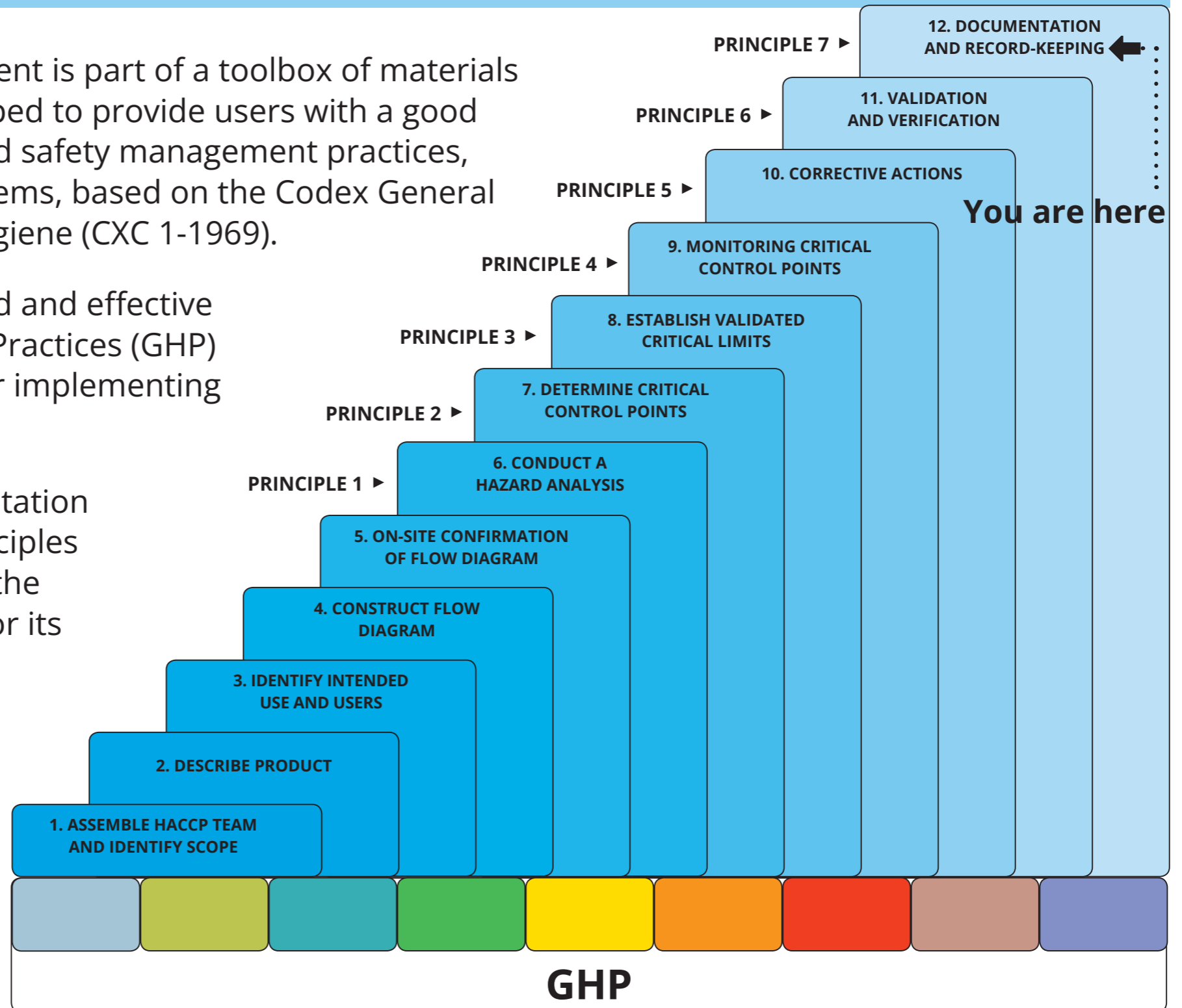
INTRODUCTION

This guidance document is part of a toolbox of materials and has been developed to provide users with a good understanding of food safety management practices, including HACCP systems, based on the Codex General Principles of Food Hygiene (CXC 1-1969).



Well established and effective Good Hygiene Practices (GHP) set the foundation for implementing a HACCP system.

This graphic representation shows the seven principles of HACCP along with the 12 successive steps for its application.



CONTEXT

Efficient and accurate **record-keeping** is essential to an effective HACCP system. HACCP procedures should be documented, and the **documentation** and record-keeping should be appropriate to the nature and size of the operation and sufficient to help the business to verify that HACCP controls are in place and being maintained. Generic HACCP plans or materials developed by external experts may be used for documenting or recording, provided that those materials reflect the specific food operations of the business. Documentation and record-keeping do not need to be complicated. Records can be paper-based or electronic.

Learning objectives

This document provides guidance on how to:

- find examples of documents and records needed for a **HACCP plan**;
- know which document formats are the most effective for record-keeping; and
- understand the importance of record-keeping to the HACCP plan.

HACCP STEP 12

Principle 7: Establish documentation concerning all procedures and records appropriate to these principles and their application

Why documentation is important

- Documented procedures create consistency between workers performing the same task.
- Documented training materials facilitate consistent training for new employees as well as retraining.
- Records can be used in continuous improvement processes.
- Documented procedures and monitoring records are needed for audits and support international trade.

Records are essential for reviewing the adequacy of the HACCP plan and adherence to the HACCP system.

Codex definitions:

HACCP Plan: Documentation or set of documents, prepared in accordance with the principles of HACCP to ensure control of significant hazards in the food business.



HACCP STEP 12

Types of documentation

- ➔ documentation used in developing the HACCP plan (HACCP forms 1 -10)
- ➔ records generated by the HACCP plan (such as monitoring records)
- ➔ documentation of methods and procedures used (such as, operating procedures and work instructions)
- ➔ records of employee training programmes

Examples of documentation include:

- HACCP team composition
- hazard analysis and the scientific support for the hazards included in or excluded from the plan
- critical control point (CCP) determination worksheet
- critical limit determination and the scientific support for the limits established
- validation of control measures
- modifications made to the HACCP plan



See Supporting documents for templates and examples.

HACCP STEP 12

What are records and why are they needed?

- A record is a document that permanently captures information as evidence that an action was executed under the HACCP plan.
- Records can be kept in digital or electronic format and may be handwritten, if necessary. They may include figures, graphs and charts, photographs, videos, etc.
- Food businesses are responsible for complying with regulatory requirements and demonstrating compliance through documented events.
- Records allow the food business to easily and confidently confirm that its HACCP plan is effective.

Records can also provide information for:

- identifying and addressing the root cause of an issue
- analysing data and identifying trends to continuously improve a process or procedure
- identifying gaps in training

HACCP STEP 12

Examples of records:

- observations or measurements taken to monitor CCP critical limits
- equipment calibration logs
- personnel training logs

Records should be complete, useful and accurate.

- Recorded information should be legible and accurately reflect the activity or observation that occurred.
- Entries should be recorded by designated and trained personnel and should be signed and dated.
- Units of measurement should be included in recording specific measurements.
- Any changes made to records should not obstruct information included previously.
- If records are electronic, they should be backed up.

HACCP STEP 12


All documents should include the following:

- page numbers
- date
- document number and revision number (if applicable)
- title on every page (header or footer)
- name of author or approver
- clearly marked changes on revised copies (indicating what has been updated)
- instructions on how to properly complete the documents
- indication of where completed records are stored



For additional information, please consult the **Further reading** section accessible from the [SECTION LANDING PAGE](#).

EXERCISE: FOOD SAFETY FOR THOUGHT

<p>This is the little “game” we created. This will apply to all HACCP steps, except the intro.</p>	<p>GHP PROGRAMMES </p> <ul style="list-style-type: none"> <li data-bbox="990 615 1511 711">1. INTRODUCTION AND CONTROL OF FOOD HAZARDS <input type="checkbox"/> <li data-bbox="990 748 1511 844">2. PRIMARY PRODUCTION <input type="checkbox"/> <li data-bbox="990 880 1511 977">3. ESTABLISHMENT - DESIGN OF FACILITIES AND EQUIPMENT <input type="checkbox"/> <li data-bbox="990 1013 1511 1109">4. TRAINING AND COMPETENCE <input type="checkbox"/> <li data-bbox="990 1146 1511 1242">5. ESTABLISHMENT MAINTENANCE, DISINFECTION, AND PEST CONTROL <input type="checkbox"/> <li data-bbox="990 1279 1511 1375">6. PERSONAL HYGIENE <input type="checkbox"/> <li data-bbox="990 1412 1511 1508">7. CONTROL OF OPERATION <input type="checkbox"/> <li data-bbox="990 1545 1511 1641">8. PRODUCT INFORMATION AND CONSUMER AWARENESS <input type="checkbox"/> <li data-bbox="990 1678 1511 1774">9. TRANSPORTATION <input type="checkbox"/> 	<p>Please explain your choices.</p>
<div data-bbox="351 854 861 972" style="border: 1px solid black; padding: 5px; text-align: center;"> <p>12. DOCUMENTATION AND RECORD-KEEPING</p> </div>		
<p>GHP are fundamental to the successful application of HACCP.</p> <p>Think of a food operation that you are familiar with, and select those GHP elements that you feel are most relevant for the application of HACCP step 12.</p>		

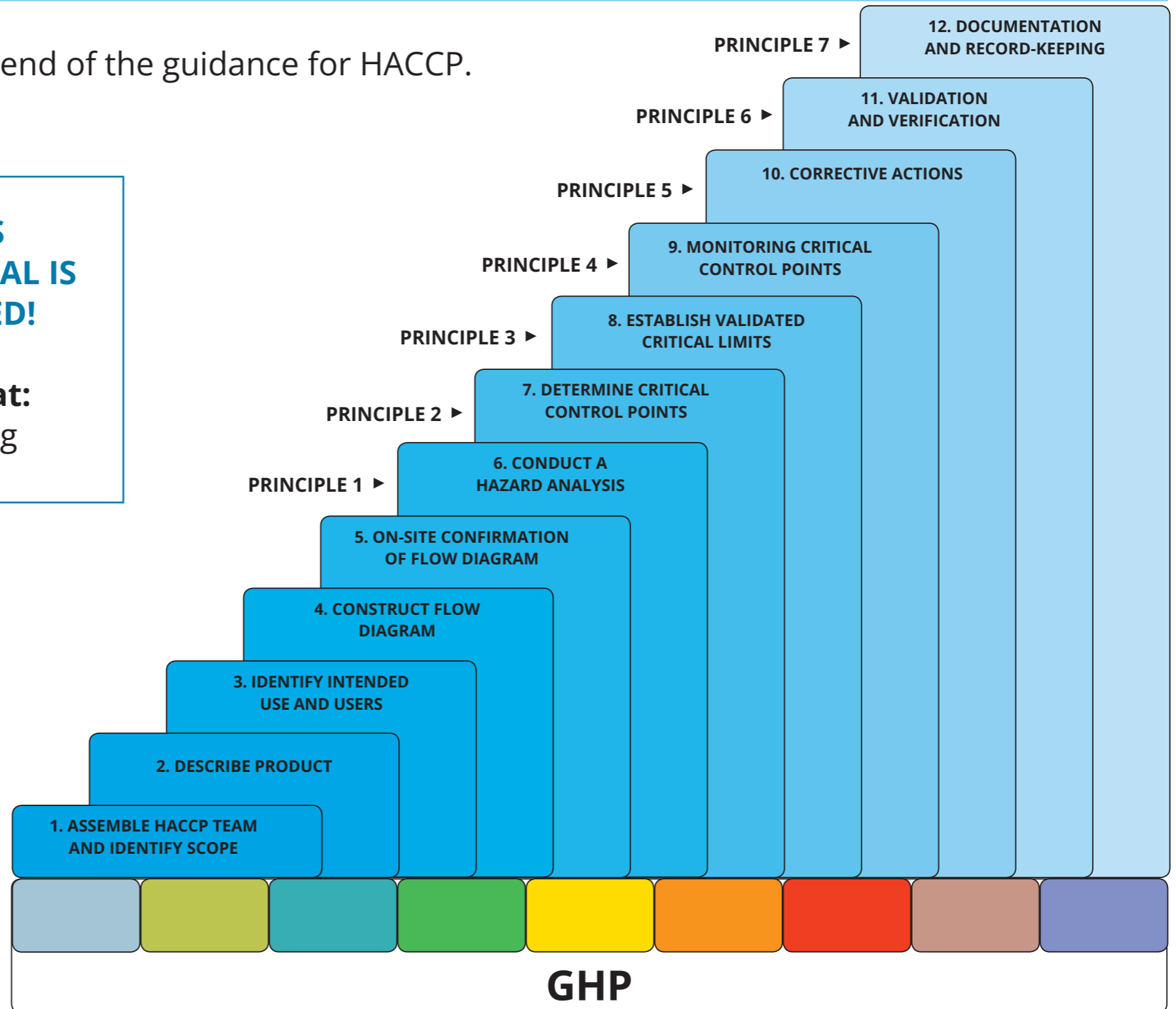
**DOCUMENTATION
AND
RECORD-KEEPING**

KEEP READING

You have reached the end of the guidance for HACCP.

**FEEDBACK ON THIS
GUIDANCE MATERIAL IS
ALWAYS WELCOMED!**

Please contact us at:
food-quality@fao.org



KEEP READING

[GHP and HACCP Toolbox for Food Safety](http://www.fao.org/good-hygiene-practices-haccp-toolbox)

www.fao.org/good-hygiene-practices-haccp-toolbox

FOOD SYSTEMS AND FOOD SAFETY –
ECONOMIC AND SOCIAL DEVELOPMENT

www.fao.org/food-safety

FOOD AND AGRICULTURE ORGANIZATION OF THE UNITED NATIONS

ROME, ITALY