**Part 3**

**Monitoring and Record Keeping**

Hazard Analysis Critical Control Point (HACCP) is a system of accounting for and preventing biological, physical, or chemical hazards that could be introduced or increased during any point in the handling of a food product. It is important to maintain good records along with having a scientifically sound and validated HACCP plan. Effective record keeping procedures must be established and implemented as part of your HACCP system.

Monitoring tracks how well managers and employees are implementing the HACCP plan. It also helps determine if the standards outlined in *Part 1: Prerequisite Programs* and *Safe Food Handling Procedures* are met.

Monitoring of all daily, weekly, monthly, annual, and as needed tasks are required for any HACCP task performed at the school. Complete only the forms for effectively monitoring the type of food service used at your school. For example, if your school does not have a walk-in freezer, completion of the walk-in freezer monitoring log would not be required. All needed monitoring forms are required unless the School Food Authority (SFA) submits an alternate form with corresponding instructions and rationale for the alternate form to the Zone Nutrition Specialist for approval. The Nutrition Specialist will approve alternate forms on a case-by-case basis. Approval must be received in writing from the Nutrition Specialist before the alternate forms can be used.

Forms for Part 3:

* Monitoring and Record Keeping Summary
* As Needed Forms Summary
* Daily Dry Storage Room Assessment
* Daily Freezer Assessment - Walk-In Units
* Daily Refrigerator Assessment – Walk-In Units
* Daily Freezer Assessment - Reach-In Units
* Daily Refrigerator Assessment – Reach-In Units
* Daily Milk Box Assessment
* Daily Hot-Holding Unit Inspection
* Daily Hand Sink Assessment
* Daily Kitchen Assessment Form
* Daily Cooling Log for Hot Time/Temperature Control for Safety (TCS) Foods
* Monthly Food Safety Inspection Forms (Week 1-Week 4)
* Environmental Health Inspections
* Employee Illness Log\*
* Foodborne Illness Complaint Log\*

\*As needed

# Monitoring and Record Keeping Summary

The first monitoring step is to determine who will be responsible for monitoring and where records are kept. Record this information in following table.

**Summary of Daily, Weekly, Monthly, and Annual Monitoring Forms**

|  |  |  |  |
| --- | --- | --- | --- |
| **MONITORING FORMS** | **RESPONSIBLE PERSON(S) 1** | **STORAGE LOCATION 2** | **HOW LONG TO KEEP 3** |
| Daily -- Production Record  |  |  | Three years |
| Daily – Cooling Log |  |  | Three years |
| Daily – Dry Storage |  |  | Three years |
| Daily – Freezer Assessment(s) Walk-in and/or Reach-in |  |  | Three years |
| Daily – Hand sink Assessment(s) |  |  | Three years |
| Daily – Hot-holding Unit Assessment(s) |  |  | Three years |
| Daily – Kitchen Assessment |  |  | Three years |
| Daily – Milk Box Assessment |  |  | Three years |
| Daily – Refrigerator Walk-in and Reach-in Assessment(s) |  |  | Three years |
| Monthly -- Series of four weekly inspection sheets4 |  |  | Three years |
| Monthly -- Pest Control |  |  | Three years |
| Annual -- Operation Assessment |  |  | Three years |
| Annual - Employee Health Policy Agreements | Manager or Person in Charge (PIC) | File annually in part 4 or in employee file | Three years |

1 In many school nutrition operations, the person responsible for monitoring will be the Food Safety Team Leader. However, it is highly recommended the Food Safety Team Leader delegate monitoring tasks to other employees in the facility.

2Storage locations must be the specific place the official records can be found – black filing cabinet second drawer, bottom drawer of desk in cafeteria manager’s office, or Monitoring Section of the HACCP Plan, etc.

3 All School Nutrition Program information must be kept for *at least* 3 years plus the current year. If your SFA requires forms are kept longer, follow your local procedure.

4 The monthly inspections include a series of four forms. The School Nutrition Administrator and/or the Food Safety Team Leader should decide when to complete these forms, such as one each week or all at the same time each month.

**As Needed Monitoring Forms Summary**

Some standards do not have a scheduled monitoring frequency and so are monitored “as needed.” Even so, it is still necessary to check to determine the standard is being met. Nearly all the standards monitored “as needed” are recorded on other forms currently in use. Here is a list of the other forms used to record information about standards monitored on an “as needed” basis. Please complete the following table.

|  |  |  |  |
| --- | --- | --- | --- |
| **MONITORING FORMS** | **RESPONSIBLE PERSON(S) 1** | **STORAGE LOCATION 2**  | **HOW LONG TO KEEP 3** |
| Employee Illness Log(s) | Manager or Person in Charge (PIC) |  | Three years |
| Reports from the health department for employee diagnosed with foodborne illness 5 |  |  | Three years |
| Food Safety Checklist for Employees 6  |  |  | File annually in Part 4 or employee file. |
| Pest Control Reports from Pest Management Professional (PMP) 7 |  |  | Three years |
| Purchasing and Receiving Delivery Invoices/Delivery Tickets 8 |  |  | Three years |
| Environmental Health Inspection Reports |  | Filed in manager’s office. | Three years |
| Foodborne Illness Complaint Form(s) |  |  | Three years |
| Non-domestic foods list9 |  |  | Three years |

5 Information shared by the health department about any employee’s health condition must not be shared with other employees as this would be a violation of one’s right for privacy. The cafeteria manager and/or the PIC or are only allowed sharing of this information with their immediate supervisor, such as the Area Supervisor or School Nutrition Director.

6 Checklists for substitute employees may be kept at the SFA central office. If so, file a list of approved substitutes and the date the employee checklist was completed in the Continuing Education section. The most recent Food Safety Checklists must be completed annually.

7 In some schools, the principal will keep these pest management records, if so, note the responsible person as Principal and cite the location as the Main School Office.

8 In some schools, invoices/delivery tickets are returned to the SFA central office so there is no record at the school; the record is stored at the SFA central office. If this is the case, note this on the table above.

9 Post the approved non-domestic foods list in the kitchen or file the list in an accessible location in the manager’s office.

# Daily Freezer Assessment - Walk-In Units

Instructions to Complete

Temperatures must be recorded every day school is open 1. USDA recommends temperatures are recorded every day; however, they must be recorded at least 5 out of 7 days if school is closed. If food is stored in the freezer when school is closed for extended periods of time – summer and breaks -- the temperature must continue to be monitored daily or at minimum, 5 out of 7 days. The monitoring must be done by a person who has been properly trained on monitoring procedures and corrective actions to take in case of freezer malfunction or failure.

It is recommended this form be completed in the morning before food preparation begins. Also, more than one freezer might be in the operation; therefore, multiple copies of the form should be reproduced, and the “location” or specific description of the freezer noted on the top of the form.

Refer to General Food Storage Information in the HACCP Plan, Frequently Asked Questions (FAQs), and *Part 1: Safe Food Handling* for additional information about food storage.

Date – The dates on the form are pre-filled. If temperatures are not checked on weekends, then draw a line through the remaining cells. It is very important all information is accurately recorded.

Observer Initials – The person who checks the temperature of the freezer must record their initials. Typically, one employee will be assigned this task; however, if another employee checks the temperature on a given day, then that person should record their initials.

Temperature (oF) – The ambient temperature of the freezer must be at 0oF or colder. Each morning before food preparation begins, the temperature must be checked using an ambient air probe for a thermocouple or a thermometer placed on the top shelf just inside the door. If using a thermometer with a probe, the probe should not touch the shelf which may be colder than the air temperature. Write the actual temperature observed in the cell.

If your SFA requires both AM and PM monitoring, you may adjust this freezer log to include additional columns to accommodate the additional monitoring on the same form; the addition of these additional monitoring columns do not require approval from the Nutrition Specialist if the remaining information is unchanged.

1 Some schools utilize electronic alarm systems for monitoring refrigerator and/or freezer storage. Schools will continue manual recording for refrigerator and freezer temperatures on the monitoring logs when school is open. During vacations, weekends and holidays, it is acceptable to rely on the Alarm System if the electronic alarm system has a battery back-up to remain active during power outages. USDA recommends, as best practice, schools check regularly (maybe weekly) to ensure the electronic system is working properly. The manager/PIC or designee must print the electronic log demonstrating temperatures have been monitored by the Alarm System and attach to the corresponding monitoring log before filing.

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# Daily Refrigerator Assessment – Walk-In Units

**Instructions to Complete**

Temperatures must be recorded every day school is open 1. USDA recommends temperatures are recorded every day; however, they must be recorded at least 5 out of seven days if school is closed. If food is stored in the refrigerator when school is closed for extended periods of time – summer and breaks -- the temperature must continue to be monitored daily or at minimum, 5 out of 7 days. The monitoring must be done by a person who has been properly trained on monitoring procedures and corrective actions to take in case of refrigerator malfunction or failure.

It is recommended this form be completed in the morning before food preparation begins. Also, more than one refrigerator might be in the operation; if so, multiple copies of the form must be reproduced and the “location” of the refrigerator noted on the top of the form.

Refer to General Food Storage Information in the HACCP Plan, Frequently Asked Questions (FAQs), and *Part 1: Safe Food Handling* for additional information about food storage.

**Date** – The dates on the form are pre-filled. If temperatures are not checked on weekends, then draw a line through the remaining cells. It is very important all information is accurately recorded.

**Observer Initials** – The person who checks the temperature of the refrigerator must record their initials. Typically, one employee will be assigned this task; however, if another employee checks the temperature on a given day, then that person should record their initials.

**Temperature (oF)** – The temperature of the refrigerator must be at 39oF or colder. Each morning before food preparation begins, the temperature must be checked using a thermometer placed on the top shelf just inside the door. Write the actual temperature observed in the cell.

If your SFA requires both AM and PM monitoring, you may adjust this refrigerator log to include additional columns to accommodate the additional monitoring on the same form; the addition of these additional monitoring columns do not require approval from the Nutrition Specialist if the remaining information is unchanged.

**Cross-contamination** – The inside of each refrigerator must be inspected to be sure all ready-to-eat/ cooked foods are stored above raw foods. Improperly stored raw foods could contaminate ready-to-eat/cooked foods. All foods should be stored at least 6 inches off the floor. Mark “No” to indicate improper storage which could contribute to cross-contamination was not observed. Mark “Yes” if improper storage or the potential for cross-contamination was observed. If “Yes”, take immediate corrective action to correct the problem and note it on the form.

**Corrective Actions Taken** – Note any corrective actions taken. Examples of corrective actions are in *Part1: Corrective Actions*.

1 Some schools utilize electronic alarm systems for monitoring refrigerator and/or freezer storage. Schools will continue manual recording for refrigerator and freezer temperatures on the monitoring logs when school is open. During vacations, weekends and holidays, it is acceptable to rely on the Alarm System if the electronic alarm system has a battery back-up to remain active during power outages. USDA recommends, as best practice, schools check regularly (maybe weekly) to ensure the electronic system is working properly. The manager/PIC or designee must print the electronic log demonstrating temperatures have been monitored by the Alarm System and attach to the corresponding monitoring log before filing.

# Daily Freezer Assessment - Reach-In Units

Instructions to Complete

Temperatures must be recorded every day school is open 1. USDA recommends temperatures are recorded every day; however, they must be recorded at least 5 out of 7 days if school is closed. If food is stored in the freezer when school is closed for extended periods of time – summer and breaks -- the temperature must continue to be monitored daily or at minimum, 5 out of 7 days. The monitoring must be done by a person who has been properly trained on monitoring procedures and corrective actions to take in case of freezer malfunction or failure.

It is recommended this form be completed in the morning before food preparation begins. Also, more than one freezer might be in the operation; therefore, multiple copies of the form might need to be reproduced and the “location” or specific description of the freezer noted on the top of the form. This form is also used to monitor the temperature of an ice cream display freezer as applicable.

Refer to General Food Storage Information in the HACCP Plan, Frequently Asked Questions (FAQs), and *Part 1: Safe Food Handling* for additional information about food storage.

Date – The dates on the form are pre-filled. If temperatures are not checked on weekends, then draw a line through the remaining cells. It is very important all information is accurately recorded.

Observer Initials – The person who checks the temperature of the freezer must record their initials. Typically, one employee will be assigned this task; however, if another employee checks the temperature on a given day, then that person should record their initials.

Temperature (oF) – The ambient temperature of the freezer must be at 0oF or colder. Each morning before food preparation begins, the temperature must be checked using an ambient air probe for a thermocouple or a thermometer placed on the top shelf just inside the door. If using a thermometer with a probe, the probe should not touch the shelf which may be colder than the air temperature. Write the actual temperature observed in the cell.

If your SFA requires both AM and PM monitoring, you may adjust this freezer log to include additional columns to accommodate the additional monitoring on the same form; the addition of these additional monitoring columns do not require approval from the Nutrition Specialist if the remaining information is unchanged.

1 Some schools utilize electronic alarm systems for monitoring refrigerator and/or freezer storage. Schools will continue manual recording for refrigerator and freezer temperatures on the monitoring logs when school is open. During vacations, weekends and holidays, it is acceptable to rely on the Alarm System if the electronic alarm system has a battery back-up to remain active during power outages. USDA recommends, as best practice, schools check regularly (maybe weekly) to ensure the electronic system is working properly. The manager/PIC or designee must print the electronic log demonstrating temperatures have been monitored by the Alarm System and attach to the corresponding monitoring log before filing.

# Daily Refrigerator Assessment – Reach-In Units

Instructions to Complete

Temperatures must be recorded every day school is open 1. USDA recommends temperatures are recorded every day; however, they must be recorded at least 5 out of seven days if school is closed. If food is stored in the refrigerator when school is closed for extended periods of time – summer and breaks -- the temperature must continue to be monitored daily or at minimum, 5 out of 7 days. The monitoring must be done by a person who has been properly trained on how to monitor procedures and perform corrective actions in case of refrigerator malfunction or failure.

It is recommended this form be completed in the morning before food preparation begins. Also, more than one refrigerator might be in the operation; if so, multiple copies of the form must be reproduced, and the “location” of the refrigerator noted on the top of the form.

Refer to General Food Storage Information in this *Part 1: Monitoring*, Frequently Asked Questions (FAQs), and *Part 1: Safe Food Handling* for additional information about food storage.

Date – The dates on the form are pre-filled. If temperatures are not checked on weekends, then draw a line through the remaining cells. It is very important all information is accurately recorded.

Observer Initials – The person who checks the temperature of the refrigerator must record their initials. Typically, one employee will be assigned this task; however, if another employee checks the temperature on a given day, then that person should record their initials.

Temperature (oF) – The temperature of the refrigerator must be at 39oF or colder. Each morning before food preparation begins, the temperature must be checked using a thermometer placed on the top shelf just inside the door. Write the actual temperature observed in the cell.

If your SFA requires both AM and PM monitoring, you may adjust this refrigerator log to include additional columns to accommodate the additional monitoring on the same form; the addition of these additional monitoring columns do not require approval from the SMI Consultant if the remaining information is unchanged.

Cross-contamination – The inside of each refrigerator must be inspected to be sure all ready-to-eat/ cooked foods are stored above raw foods. Improperly stored raw foods could contaminate ready-to-eat/cooked foods. Mark “No” to indicate improper storage which could contribute to cross-contamination was not observed. Mark “Yes” if improper storage or the potential for cross-contamination was observed. If “Yes”, take immediate corrective action to correct the problem and note it on the form.

Corrective Actions Taken – Note any corrective actions taken. Examples of corrective actions are in *Part 1: Corrective Actions*.

1 Some schools utilize electronic alarm systems for monitoring refrigerator and/or freezer storage. Schools will continue manual recording for refrigerator and freezer temperatures on the monitoring logs when school is open. During vacations, weekends and holidays, it is acceptable to rely on the Alarm System if the electronic alarm system has a battery back-up to remain active during power outages. USDA recommends, as best practice, schools check regularly (maybe weekly) to ensure the electronic system is working properly. The manager/PIC or designee must print the electronic log demonstrating temperatures have been monitored by the Alarm System and attach to the corresponding monitoring log before filing.

# Daily Milk Box Assessment

Instructions to Complete

Temperatures must be recorded every day school is open. USDA recommends temperatures are recorded every day; however, they must be recorded at least 5 out of seven days if school is closed. If food is stored in the milk box when school is closed for extended periods of time – summer and breaks -- the temperature must continue to be monitored daily or at minimum, 5 out of 7 days. The monitoring must be done by a person who has been properly trained on monitoring procedures and corrective actions to take in case of milk box malfunction or failure.

It is recommended this form be completed in the morning before food preparation begins. Also, more than one milk box might be in the operation; if so, multiple copies of the form must be reproduced, and the “location” of the milk box noted on the top of the form.

Refer to Frequently Asked Questions (FAQs), and *Part 1: Safe Food Handling* for additional information about food storage.

Date – The dates on the form are pre-filled. If temperatures are not checked on weekends, then draw a line through the remaining cells. It is very important all information is accurately recorded.

Observer Initials – The person who checks the temperature of the milk box must record their initials. Typically, one employee will be assigned this task; however, if another employee checks the temperature on a given day, then that person should record their initials.

Temperature (oF) – The temperature of the milk box must be at 39oF or colder. Each morning before meal service begins, the temperature must be checked using a thermometer placed inside the milk box or the properly working built in thermometer. Write the actual temperature observed in the cell. Note: The thermometer placed in the milk box does not have to stay in the milk box throughout the serving period; rather, it can be placed in the box at the end of meal service and the temperature monitored and recorded at the beginning of the school day.

If your SFA requires both AM and PM monitoring, you may adjust this log to include additional columns to accommodate the additional monitoring on the same form; the addition of these additional monitoring columns do not require approval from the SMI Consultant if the remaining information is unchanged.

Products Dated/FIFO – Check milk to be sure it has current “use by” date and the oldest product is used first.

Corrective Actions Taken – Note any corrective actions taken. Examples of corrective actions are in *Part 1: Corrective Actions*

# Daily Hot-Holding Unit Assessment

Instructions to Complete

The Daily Hot-Holding Unit Inspection must be completed each day school is open for each operating unit and holds hot time and temperature controlled for safety (TCS) foods. The temperature must be checked, and this form must be completed before any TCS food is placed in the unit. No food can be placed in a hot-holding unit until the temperature is at 135oF or hotter (or sufficient to hold foods at 135oF.)

(Employees do not monitor the temperature of a steam table; they monitor the temperature of the food before it is placed on the steam table and record this information on the daily production record in section 1 - *Food temp when removed from holding*.)

Date – The dates on the form are pre-filled. If the hot cabinet is not used on a specific day, then draw a line through the remaining cells. It is very important all information is accurately recorded.

Observer Initials – The person who monitors must note their initials. Typically, one employee will be assigned this task; however, if another employee completes the monitoring for the day, that person should record their initials.

Temperature – The temperature inside all hot-holding units must be at 135oF or hotter before any food is placed inside. (Note: Use the manufacturer’s recommended setting to hold hot TCS at or above 135oF.) Ensure that a thermometer is placed inside the unit for verifying the internal temperature of the unit. Take necessary corrective action to ensure hot TCS remain above 135oF.

(Note: Record the temperature of the food in the first pan removed from hot holding on the Production Record in section 1- *Food temp when removed from holding*.)

Corrective Actions Taken – Note any corrective actions taken. Examples of corrective actions are in *Part 1: Corrective Actions*.

**Daily Hand Sink Assessment**

**Instructions to Complete**

The daily hand sink assessment must be completed each day the kitchen operates. It is recommended this form be completed in the morning before food preparation begins.

**Date** – The dates on the form are pre-filled. On days monitoring is not done; draw a line through the remaining cells. It is very important all information is accurately recorded.

**Observer Initials** – The person who checks the condition of the hand sinks must record their initials.

**Hand Sinks**

* All hand sinks with the potential for being included in the environmental health inspection report must be monitored.
* Hand sinks in any designated school nutrition employee restrooms must be monitored along with those located directly in the kitchen area.
* If there are more than five sinks associated with the kitchen, additional copies of this form must be copied and completed.

**Water oF (W)**

Water at all hand sinks must be warm (100oF or hotter). Occasionally use a metal-stem thermometer to measure the temperature of the water so you know what warm water feels like. Afterwards, you can simply feel if the water is warm rather than measuring an actual temperature. If warm water is available, mark “Y”, if no, mark “N.”

**Soap (S)**

* All hand sinks must have liquid, powder, or bar soap.
* Check the soap dispensers at all hand sinks. If soap is available, mark “Y”, if no, “mark “N.”

**Towels and Tissue (T)**

* All hand sinks must have single-use paper towels, a working air dryer, or a continuous towel system supplying the user with a clean towel.
* Restrooms must also be stocked with toilet tissue.
* Check the availability of single-use towels or a working hand dryer and toilet tissue. If available, mark “Y”, if no, mark “N.”

**Corrective Actions (CA)**--For any item observed not meeting the required standard, corrective action must occur. Note the corrective action taken on the form in the column on the right side of page. Refer to *Part 1: Corrective Actions* for additional information.

**Daily Kitchen Assessment**

**Instructions to Complete**

The Daily Kitchen Assessment Form must be completed each day the School Nutrition Program operates. It is recommended the sections of the form related to sanitizing be completed in the morning before food preparation begins; the sections for cleanup should be completed at the end of the day.

**Date** – The dates on the form are pre-filled. On days monitoring is not performed, draw a line through the remaining cells. It is very important all information is accurately recorded.

**Observer Initials** – The person who monitors must record their initials. Typically, one employee will be assigned this task; however, if another employee completes the monitoring on a given day, then that person should record their initials.

**Dish Machine Sanitizing**

* **oF/ppm** – if the dish machine is a high-temperature dish machine, the final rinse temperature must be recorded. If the dish machine is a low-temperature dish machine, follow the manufacturer’s instructions for the dish machine to measure the sanitizing concentration. If the concentration is correct, use an “X” in this cell. It is difficult to get exact readings for ppm, which is why a numeric value probably cannot be recorded.
* **Pressure (usually noted in pounds per square inch or PSI)** – Check the manufacturer’s instructions to determine the proper pressure. Record the actual pressure in this cell.

**Dish Sink Set-up (ppm)** – Refer to *Part 1: Pre-Requisite Programs* for the correct water temps and/or chemical concentration. The dish sink should be set-up each morning and water temperatures should be measured to be sure the wash and rinse water is at least 110°F. Record the water temperature on the monitoring log. If a chemical sanitizer is used, the concentration must be checked using appropriate test strips. If the concentration is in the correct range, then record the ppm in this cell. If not, add more sanitizer to the sink and note this in the corrective actions column. If the three-compartment sink is refilled more than once during the day, the sanitizer concentration must be checked to ensure correct concentration but not recorded. If a booster heater is used, note the temperature of the final rinse water in the third compartment sink.

**Wipe/Spray on Sanitizer (ppm)** Bottles or buckets of chemical sanitizer should be prepared as needed and the concentration must be checked daily using appropriate test strips. If the concentration is in the correct range, then record the ppm in this cell. If not, adjust the amount of sanitizer or water in the container for the correct concentration and note this in the corrective actions column. If the containers are refilled during the day, the sanitizer concentration must be checked but not recorded.

**Clean-up** – these items serve as a reminder of general sanitation practices to be completed before leaving the facility. Mark each item with a “Yes” or “No” to indicate satisfactory completion of the task. If you answer “No” to any of the items, you must take corrective action. Record the corrective actions taken in the space beside each observation.

* **Trash** – at the end of the day, all trash must be removed from the facility.
* **Floors** – at the end of the day, all floors must be thoroughly cleaned.
* **Surfaces** – at the end of the day, all non-food-contact surfaces must be cleaned and all food-contact surfaces, cleaned and sanitized, if used during the day.