



Processing Plant Superintendent 2015 Regulatory Update

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Record Keeping / SOPs / Maintaining Product Specifications

Why Do You Keep Records?

Because it's a.....

Regulatory Requirement!

Additional Reasons to Keep Records

- ▶ Management Tool
- ▶ Protection
- ▶ Traceability

Absolute Truth of Record Keeping

“ **IF THERE IS NO
RECORD IT NEVER
HAPPENED!** ”

Hacksaw H.

Record Keeping

Required Records

Pasteurization Records

- ▶ Vat Pasteurization
- ▶ HTST
- ▶ HHST
- ▶ All require charts

What Information Must Be on the Chart

- ▶ **Batch Pasteurizers:**
- ▶ (1) Date;
- ▶ (2) Number or location of recording thermometer when more than one is used;
- ▶ (3) A continuous record of the product temperature;
- ▶ (4) Extent of holding period, including filling and emptying times when required;
- ▶ (5) Reading of the airspace thermometer, at the start of the holding period and at the end of the holding period, at a given time or reference point as indicated on the chart; provided, if the airspace thermometer is a digital combination airspace/recording thermometer, which provides a continuous recording of the airspace temperature and has been calibrated by the Regulatory Agency in accordance with Appendix I, Test 4, the recording of the airspace temperature on the chart shall only be required at the start of the holding period;
- ▶ (6) Reading of indicating thermometer, at the start of the holding period, at a given time or reference point as indicated on the chart;
- ▶ (7) Quarterly, the time accuracy of the recording thermometer, as determined by the Regulatory Agency, or in the case of milk plants regulated under the NCIMS voluntary HACCP Program, a qualified industry person acceptable to the Regulatory Agency;
- ▶ (8) Amount and name of the pasteurized milk or milk product, represented by each batch or run on the chart;
- ▶ (9) Record of unusual occurrences;
- ▶ (10) Signature or initials of the operator; and
- ▶ (11) Name of the milk plant.

Pasteurization Charts Continued

- ▶ **HTST and HHST Pasteurizers:** Recording thermometer charts shall contain all the information specified in Subitem a. above, except (4), and (5), and in addition, shall include the following:
 - ▶ (1) A record of the time during which the FDD is in the forward-flow position;
 - ▶ (2) The cut-in and cut-out milk or milk product temperatures, recorded daily by the operator, at the beginning of the run (HTST only), and initialed quarterly by the 108 Regulatory Agency, or in the case of milk plants regulated under the NCIMS voluntary HACCP Program, a qualified industry person acceptable to the Regulatory Agency; and
 - ▶ (3) Number (6) from above shall also be recorded immediately after a chart has been changed.
- ▶ **Continuous-Flow Pasteurization Systems with Magnetic Flow Meter Based Timing Systems:** Flow rate recording charts shall be capable of continuously recording flow at the flow alarm set point and at least 19 liters (5 gallons) per minute higher than the high flow alarm setting. Flow rate recording charts shall contain all the information specified in Subitem a. above, except (3), (4), (5), (6), and (7), and in addition, shall include the following:
 - ▶ (1) A continuous record of the status of the high and low-flow/loss of signal alarms; and
 - ▶ (2) A continuous record of the flow rate.

Is That All?

No! The more documentation on a chart the better. Indicates to an investigator that you are monitoring the situation

So....

Agitator Speed

Cooling Media

Addition of Ingredients

Wait Times

Why Product Held for Specific Time

Cleaning records (CIP & COP)

- ▶ CIP - An effective cleaning and sanitizing **regimen** for each separate cleaning circuit shall be followed
- ▶ Time and temp recording provides sufficient information to adequately evaluate the cleaning and sanitizing **regimen**, includes fillers designed for CIP
- ▶ COP/Manual - Document Cleaning

Regimen

THE FREE DICTIONARY BY FARLEX

A procedure, program,
or routine

SOP

Milk

Receiving/Drug
Residue Testing

RECORD REQUIREMENTS:

Results of all testing may be recorded in any format acceptable to the Regulatory Agency that includes at least the following information:

1. Identity of the person doing the test;
2. Identity of the bulk milk pickup tanker or farm bulk milk tank(s)/silo(s), milk plant raw milk tank(s) and/or silo(s), other raw milk storage container(s), etc. used for the storage of all raw milk supplies that have not been transported in bulk milk pickup tankers being tested*;
3. Date/time the test was performed (Time, Day, Month and Year);
4. Identity of the test performed/lot #/any and all controls (+/-);
5. Results of the test;
6. Follow-up testing if the initial test was positive/any and all controls (+/-);
7. Site where test was performed, and
8. Prior test documentation shall be provided for a presumptive positive load.

Product Storage Cooling / Temperature Records

Otherwise, storage tanks shall be cleaned when emptied and shall be emptied at least every seventy-two (72) hours. **Records** shall be available to verify that milk storage in these tanks does not exceed seventy-two (72) hours. These **records** shall be available for at least the previous three (3) months or from the time of the last regulatory inspection, whichever is longer. In the case of pasteurized storage tanks, which are CIP cleaned at intervals of less than seventy-two (72) hours, the **CIP cleaning records required** shall be considered adequate. Storage tanks, which are used to store raw milk and/or milk products or heat-treated milk products longer than twenty-four (24) hours and silo tanks used for the storage of raw milk and/or milk products or heat-treated milk products, shall be equipped with a seven (7) day temperature-recording device

Maintain a Binder for Inspectional Purposes

- Previous inspections
- Sample results
- Water analysis

Additional Records That Should Be kept

- Batch records – how batches are documented lends itself to a good traceability program
- SOPs – provide the instructions for performing tasks, those tasks are then “backed up” with documentation (records)
 - Post laminated SOPs near / at the point of use, use visual instructions when possible

EXERCISE

Identify What Records Are Being Kept And Possible Improvements

TRINITY VALLEY –BARN RECEIVING

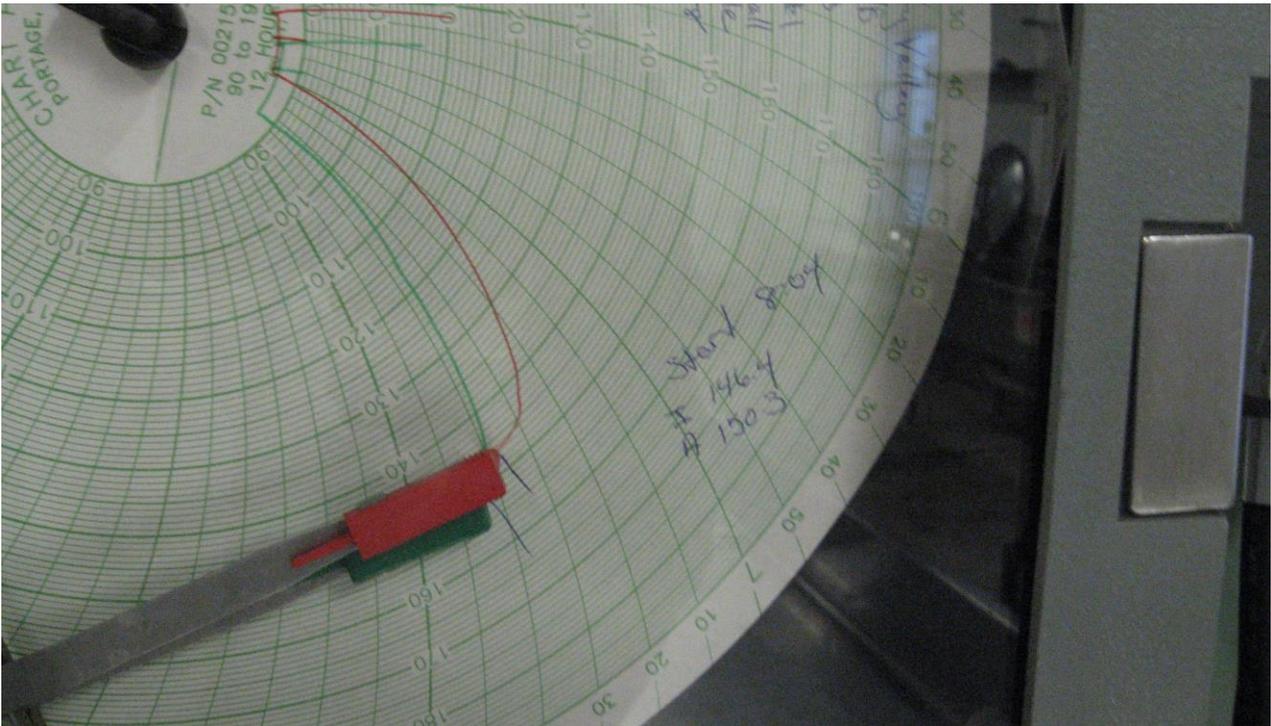
Date	Initial (A)	Expected	Actual (B)	Total lbs(A-B=C)
1/10/15				
Stick Measurement	104.8	74.3	74.5	
Pounds of Milk	14892	9947	9976	4916
Date				
1/13/15				
Stick Measurement	59.8	32.8	30.9	
Pounds of Milk	7413	3113	2845	4568
Date				
1/14/15				
Stick Measurement	76.6	62.6	62.5	

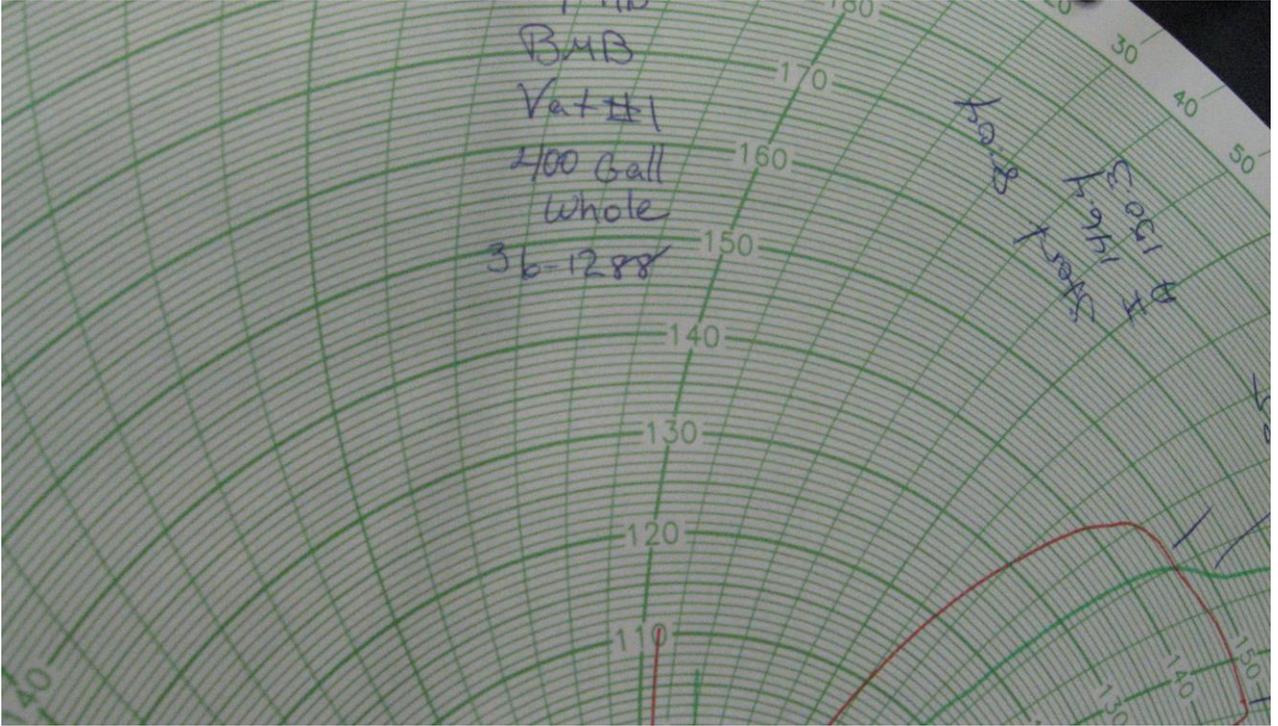
Milk Receiving

- Temperature
- Drug Residue Testing



Appendix N Lab
Appendix N Result





Pasteurization Record



TRINITY VALLEY - BOTTLED MILK

	WHOLE	CHOCOLATE	TOTAL
	BOTTLED: 1/6/15 USE BY: 1/24/15	BOTTLED: 1/6/15 USE BY: 1/24/15	
GALLON	188	160	
H.GALLON	21	144	
PINT	140	375	
	WHOLE	CHOCOLATE	TOTAL
	BOTTLED: 1/13/15 USE BY: 1/31/15	BOTTLED: 1/14/15 USE BY: 1/30/15	
GALLON	384	96	
H.GALLON	279	210	
PINT	150	600	
	WHOLE	CHOCOLATE	TOTAL
	BOTTLED: 1/20/15 USE BY:	BOTTLED: 1/20/15 USE BY:	

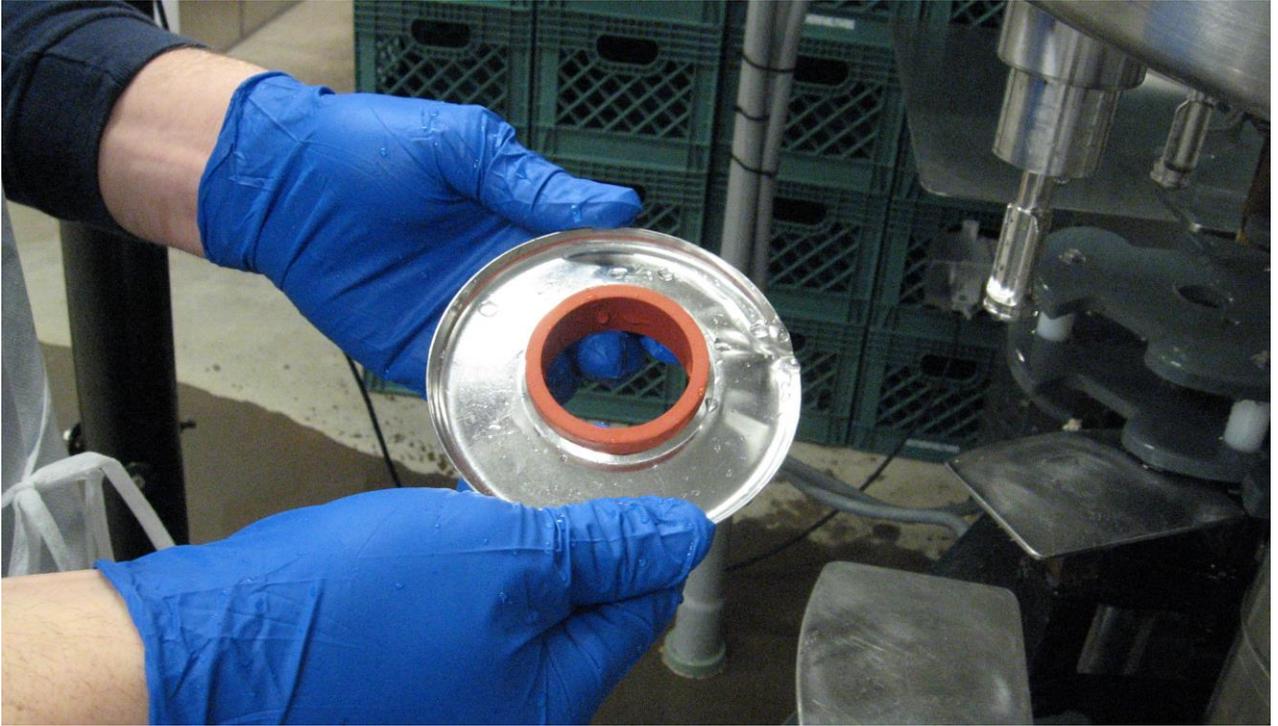
	WHOLE	CHOCOLATE	TOTAL
	BOTTLED: 3/8/15 USE BY:	BOTTLED: USE BY:	
GALLON	240	124	
H.GALLON	210	210	
PINT	150	450	
	WHOLE	CHOCOLATE	TOTAL
	BOTTLED: 2/24/15 USE BY: 3-15-15	BOTTLED: 2/24/15 USE BY: 3-14-15	
GALLON	240	124	
H.GALLON	210	210	
PINT	150	450	
	WHOLE	CHOCOLATE	TOTAL
	BOTTLED: 3/13/15 USE BY: 3/22	BOTTLED: 3/14/15 USE BY: 3/22	

↑ END
Feb
↓
Start
march

Batch/Production Records

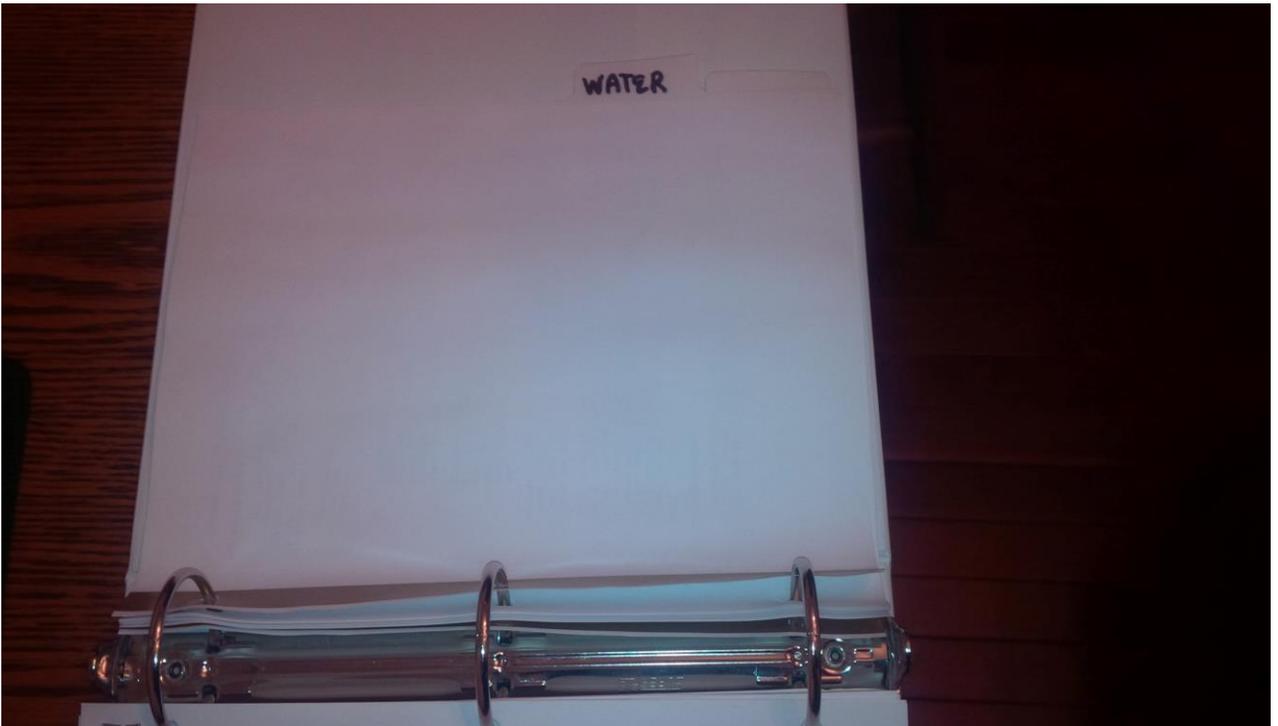


Cleaning / Sanitizing Record



SOPs





Binder for Records



Records for a Plant Rating



Courtesy of Rodney G. Hinz DPS II NYSDAM Milk Control &
Dairy Services

Raw Receiving

1. SOURCES OF GRADE A MILK AND MILK PRODUCTS (LBS PROCESSED DAILY)
2. APPENDIX N TESTING-LEDGER FORMAT OF EACH TEST CONDUCTED
3. LIST OF MILK RECEIVERS TAKING APPENDIX N SAMPLES
4. TRUCK WASH TAGS COMPLETED- 15 DAYS ON FILE
5. NUMBER OF RAW MILK TANKS
6. 7 DAY COOLING CHARTS FOR RAW TANKS

Pasteurization

7. HTST AND VAT INSPECTIONS (includes partials)-LEDGER FORMAT WITH TESTS PERFORMED FOR EACH INSPECTION
8. LIST OF CERTIFIED PERSONNEL FOR BROKEN SEAL PROGRAM- DOCUMENTATION
9. % OF PRODUCT RUN ON EACH PASTEURIZER
10. VITAMIN ASSAYS ON FLUID WHITE MILK AND CHOCOLATE MILK
11. VITAMIN ADDITION UTILIZATION LOG
12. EQUIPMENT AND HTST PLANS SUBMITTED TO REGULATORY
13. NUMBER OF PASTEURIZERS
14. NUMBER OF PRODUCT WATER FLUSHES RAW AND PASTEURIZED
15. HTST CHARTS
16. VAT PASTEURIZER CHARTS

Fillers

17. NUMBER OF FILLERS
18. % OF PRODUCT RUN ON EACH FILLER
19. APPROVAL FOR EXTENDED RUNS-DOCUMENTATION

Samples

20. FINISHED PRODUCT SAMPLE RESULTS-LEDGER FORMAT – LIST EACH TEST RESULT & TEMPERATURE
21. WATER SAMPLE TEST RESULTS- POTABLE, RECIRCULATED COOLING, TOWER WATER CAPTIVE LOOP, PASTEURIZED EQUIVALENT- DATE AND TESTS PERFORMED
22. LABORATORIES USED FOR FINISHED PRODUCT TESTING AND WATER TESTING
23. FINISHED PRODUCT LABELS - BINDER IS A GOOD IDEA
24. BILLS OF LADING FOR BULK LOAD OUTS –I.E. SKIM, CREAM ETC....

Storage

25. NUMBER OF PASTEURIZED TANKS
26. MONTHLY TEMPERATURE LOG CHECK FOR CULTURED PRODUCTS FILLED ABOVE 45 DEGREES
27. PROGRAM FOR CHECKING ACCURACY ON TANK THERMOMETERS
28. ANY NON-GRADE A PRODUCTS PROCESSED- METHOD FOR KEEPING SEPARATE FROM GRADE A PROCESSING

Sanitation

29. PLANT INSPECTIONS- LEDGER FORMAT WITH ITEMS MARKED EACH INSPECTION DATE
30. SANITIZERS AND CLEANERS USED W/IN THE PLANT
31. NUMBER OF CIP SYSTEMS
32. CIP CHARTS

Letters

- 33. GLYCOL LETTER STATING-CFR COMPLIANT, OR FOOD GRADE, OR GRAS, OR USP GRADE
- 34. BOILER TREATMENT LETTERS-STATEMENT COMPLIES WITH CFR
- 35. SOURCES OF IMS LISTED SINGLE SERVICE SUPPLIERS
- 36. LAST RATING REPORT
- 37. VALID PART 2 PERMIT POSTED OR AVAILABLE

**Maintain These
Records In A
Binder Where It Is
Practical**

Specials Thanks To:

Charles Lindberg - Dairy
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Equipment Specialist

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LLC

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