



**NEW YORK STATE
DEPARTMENT OF AGRICULTURE AND MARKETS
DIVISION OF FOOD SAFETY AND INSPECTION
10B AIRLINE DRIVE
ALBANY, NY 12235**

CIRCULAR 1029

**RECORD KEEPING AND PRODUCT CODING
REQUIREMENTS FOR FOOD PROCESSING ESTABLISHMENTS
LICENSED UNDER ARTICLE 20-C OF THE
AGRICULTURE AND MARKETS LAW**

Revised as of April 1989

**RECORD-KEEPING AND PRODUCT CODING
REQUIREMENTS FOR FOOD PROCESSING
ESTABLISHMENTS LICENSED UNDER
ARTICLE 20-C OF THE AGRICULTURE
AND MARKETS LAW**

CODING: Each container of potentially hazardous food (any perishable food which consists in whole or in part of milk or milk products, eggs, meat, poultry, fish, shellfish, edible crustacea, or other ingredients capable of supporting rapid and progressive growth of infectious or toxigenic microorganisms) shall be marked with an identifying code which shall be permanently visible to the naked eye.

1. Where the container does not permit the code to be embossed or inked, the label or other similar marking device may be legibly perforated or otherwise marked, provided that such label is securely affixed to the product container in a manner satisfactory to the Commissioner.
2. The required identification shall identify in code the establishment where packed and the period during which packed.
3. The packing period shall be changed with sufficient frequency to enable identification of lots during their sale and distribution.
4. Packing period codes may be changed on the basis of one of the following: intervals of every four to five hours; personnel shift changes; or batches, provided the containers comprising such batch do not extend over a period of more than one personnel shift.

RECORDS:

1. Food processing and production information shall be entered on forms approved by the Commissioner, which shall include the product processed, the code number, the size of container, the approximate number of containers per coding interval, and other processing data required by the Commissioner.
2. Every operator of a processing plant shall keep a record of every transaction of the sale and distribution of potentially hazardous foods. Such records, in addition to the names and addresses of the persons or firms involved in the transaction, shall contain the code numbers of each lot involved.
3. All records, formulas and related data shall be legibly written in English and kept for the Commissioner's confidential review for two years at the processing facility and shall be available for examination at all reasonable hours by designated employees of the Department.

RETAIL STORES: Retail stores which are involved in the processing and sale of food products in wholesale lots must comply in full with those coding and record-keeping requirements described under “Coding” and “Records” on page 1. In addition, retail stores which manufacture acidified foods and/or tomato products and other potentially low-acid products must comply with the special record-keeping requirements described on pages 3 and 4.

Retailers who process (cook, smoke, or cure) ready-to-eat: pork products (excluding spareribs), smoked or dry cured meats or fish, poultry, poultry stuffings, stuffed meats, stuffing containing meat, or cook roast beef(except that any of the foregoing products which are deep fried are exempt), must maintain the following records for each lot of such products processed:

1. Time/temperature (internal temperature of the product).
2. Date of manufacture.
3. Amount of product manufactured.

In addition, in the case of roast beef manufacturing, records must include the following:

1. Preheat temperature of the oven and
2. The processing temperature of the oven.

Smoked or dry cured meats, poultry and fish manufacturing operations, must also record the following:

1. Salt, nitrite, or nitrate content (when used as a means of preservation).
2. Time cured.
3. Temperature of curing room.

Retailers involved in the manufacture of the aforementioned products should maintain required records for a period of two months (as opposed to the two-year retention period required for other 20-C licensed establishments). Retailers involved in vacuum or modified atmosphere packaging should refer to the special record keeping requirements provided with their Article 20-C Vacuum Packaging Authorization.

With the exception of the specific product requirements noted above, retail stores involved in processing foods on the premises and selling such products to individual consumers need not comply with the coding and record-keeping requirements described under “CODING” and “RECORDS” on page 1. In addition, retail record-keeping and coding requirements do not apply to food service type operations which are preparing foods for immediate consumption.

TOMATO PRODUCTS AND OTHER POTENTIALLY LOW-ACID PRODUCTS CODING

Each container must be coded to identify the establishment where packed and the period during which packed.

RECORDS: Time/temperature, pH readings, and codes must be maintained for each batch processed.

MANUFACTURERS OF ACIDIFIED FOODS

CODING: Each container or product shall be marked with an identifying code permanently visible to the naked eye. If the container does not permit the code to be embossed or inked, the label may be legibly perforated or otherwise marked, as long as the label is securely affixed to the product container. The required identification shall specify in code the establishment where the product was packed, the product contained therein, and the year, day, and period during which it was packed. The packing period code shall be changed often enough to enable ready identification of lots during their sale and distribution. Codes may be changed periodically on one of the following bases: intervals of four to five hours; personnel shift changes; or batches, as long as the containers constituting the batch do not represent those processed during more than one personnel shift.

RECORDS:

1. Records shall be maintained of examinations of raw materials, packaging materials, and finished products, and of suppliers' guarantees or certifications that verify compliance with Food and Drug Administration regulations and guidelines or action levels.
2. Processing and production records showing adherence to scheduled processes, including records of pH measurements and other critical factors intended to ensure a safe product, shall be maintained and shall contain sufficient additional information such as product code, date, container size, and product, to permit a public health hazard evaluation of the processes applied to each lot, batch, or other portion of production.
3. All departures from scheduled processes having a possible bearing on public health or the safety of the food shall be noted and the affected portion of the product identified; these departures shall be recorded and made the subject of a separate

file (or log identifying the appropriate data) delineating them, the action taken to rectify them, and the disposition of the portion of the product involved.

4. Records shall be maintained identifying initial distribution of the finished product to facilitate, when necessary, the segregation of specific food lots that may have become contaminated or otherwise unfit for their intended use.
5. Copies of all records provided in paragraphs 2, 3, and 4 of this section shall be retained at the processing plant or other reasonably accessible location for a period of three years from the date of manufacture.

EXEMPTIONS:

Some specialized types of food processing establishments are exempt in part or entirely from the foregoing coding and record-keeping requirements. They include those establishments which qualify for exemption from Article 20-C licensing under Section 251-z-2, certain maple syrup or honey processors, and processors which qualify for home processor exemptions. Also see partial exemption status for certain types of retail store processing as described on page 2.

