

## § 117.137

(2) The annual written assurance from your customer in accordance with paragraph (a)(2) of this section;

(3) The annual written assurance from your customer in accordance with paragraph (a)(3) of this section;

(4) The annual written assurance from your customer in accordance with paragraph (a)(4) of this section; and

(5) Your system, in accordance with paragraph (a)(5) of this section, that ensures control, at a subsequent distribution step, of the hazards in the food you distribute.

[80 FR 56145, Sept. 17, 2015, as amended at 81 FR 3716, Jan. 22, 2016]

### § 117.137 Provision of assurances required under § 117.136(a)(2), (3), and (4).

A facility that provides a written assurance under § 117.136(a)(2), (3), or (4) must act consistently with the assurance and document its actions taken to satisfy the written assurance.

### § 117.139 Recall plan.

For food with a hazard requiring a preventive control:

(a) You must establish a written recall plan for the food.

(b) The written recall plan must include procedures that describe the steps to be taken, and assign responsibility for taking those steps, to perform the following actions as appropriate to the facility:

(1) Directly notify the direct consignees of the food being recalled, including how to return or dispose of the affected food;

(2) Notify the public about any hazard presented by the food when appropriate to protect public health;

(3) Conduct effectiveness checks to verify that the recall is carried out; and

(4) Appropriately dispose of recalled food—*e.g.*, through reprocessing, reworking, diverting to a use that does not present a safety concern, or destroying the food.

### § 117.140 Preventive control management components.

(a) Except as provided by paragraphs (b) and (c) of this section, the preventive controls required under § 117.135 are subject to the following preventive

## 21 CFR Ch. I (4–1–19 Edition)

control management components as appropriate to ensure the effectiveness of the preventive controls, taking into account the nature of the preventive control and its role in the facility's food safety system:

(1) Monitoring in accordance with § 117.145;

(2) Corrective actions and corrections in accordance with § 117.150; and

(3) Verification in accordance with § 117.155.

(b) The supply-chain program established in subpart G of this part is subject to the following preventive control management components as appropriate to ensure the effectiveness of the supply-chain program, taking into account the nature of the hazard controlled before receipt of the raw material or other ingredient:

(1) Corrective actions and corrections in accordance with § 117.150, taking into account the nature of any supplier non-conformance;

(2) Review of records in accordance with § 117.165(a)(4); and

(3) Reanalysis in accordance with § 117.170.

(c) The recall plan established in § 117.139 is not subject to the requirements of paragraph (a) of this section.

### § 117.145 Monitoring.

As appropriate to the nature of the preventive control and its role in the facility's food safety system:

(a) *Written procedures.* You must establish and implement written procedures, including the frequency with which they are to be performed, for monitoring the preventive control; and

(b) *Monitoring.* You must monitor the preventive controls with adequate frequency to provide assurance that they are consistently performed.

(c) *Records.* (1) *Requirement to document monitoring.* You must document the monitoring of preventive controls in accordance with this section in records that are subject to verification in accordance with § 117.155(a)(2) and records review in accordance with § 117.165(a)(4)(i).

(2) *Exception records.* (i) Records of refrigeration temperature during storage of food that requires time/temperature control to significantly minimize or