



## HACCP Accreditation Program Requirements

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## **1. PROGRAM BENEFITS AND ORGANIZATION**

Hazard Analysis Critical Control Point (HACCP) System is an internationally recognized means of assuring food safety from harvest to consumption. Over the last 30 years, this system has been recognized by such organizations as CODEX Alimentarius Committee on Food Hygiene and the National Advisory Committee on Microbiological Criteria for Foods. The system has become the basis for food safety regulations in a number of countries including the U.S., South America, Europe, China, Canada and Japan.

HACCP has also become a market standard for food safety. Food, beverage and packaging manufacturers are asking their suppliers to use the system, large companies are asking their co-packers to employ HACCP and private label retailers are insisting that HACCP be in place at private label manufacturers prior to products being listed on the shelf.

### **Benefits of an AIBI / GFTC Accredited HACCP System**

- a. Increases consumer confidence in food safety.
- b. Demonstrates an actively managed and continuously improving food safety system.
- c. Meets customer (e.g. co-packer, retailer) requirements.
- d. Improves access to international markets and new customers.
- e. Displays product quality, productivity and brand name protection.
- f. Increases criteria of internal auditing, rather than relying on government inspection.

### **AIBI / GFTC Third Party HACCP Accreditation**

AIB International (AIBI) has been in the business of providing third-party audits for the dairy, meat, processed vegetables, baking and other food industries for over 85 years. AIB has a rigorous and consistent auditing program to meet Global Food Safety requirements. Audits are carried out in 110 countries. AIB International has 130+ auditors worldwide and serves over 12,000 clients. Many large multinational companies use the AIBI system to provide assurance that their suppliers and co-packers are producing food products within established quality and food safety standards.

Guelph Food Technology Centre (GFTC) is Canada's only independent not-for-profit food technology transfer organization. The Centre has a 54,000 sq. ft. pilot plant facility for the food industry and has been providing HACCP training, consulting, auditing, and scientific

assistance to the food industry since its inception. GFTC's network of auditors across Canada and affiliations with national associations and government continue to bring food safety and quality expertise to meet the international market needs.

In cooperation, AIBI and GFTC are offering third party HACCP Accreditation. Both organizations work together to provide Good Manufacturing Practices/HACCP Prerequisite Program audits, and scientific validation of Critical Control Points, Critical Limits, monitoring frequencies and corrective actions.

The AIBI / GFTC HACCP Accreditation Program is a credible, rigorous, and scientifically based service that determines the acceptability of HACCP systems for you, your customers, and your suppliers.

## **2. ACCREDITATION PROCESS**

### **A. Application:**

In order to commence the HACCP Accreditation Process the following steps should be followed:

- a. Complete the Application Form in Appendix I. The information on this form is confidential and in no way obligates you to the AIBI / GFTC HACCP Accreditation Program.
- b. Fax, mail or e mail this form to:  
Hannah Norsworthy, Quality Systems and HACCP Coordinator  
AIB International  
1213 Bakers Way, PO Box 3999  
Manhattan, KS 66505-3999  
Phone: 785-537-4750, Ext. 202  
Fax: 785-537-0106  
hnorsworthy@aibonline.org
- c. You will be contacted by the HACCP Accreditation Group to discuss your specific needs. Following this discussion, a HACCP Accreditation Agreement (contract) will be generated outlining the costs and timing of the Accreditation process specifically for your company.

## **B. Audit Process:**

### GMP Inspection

- i) Each facility must have completed or will receive a Good Manufacturing Practice inspection, based on the AIBI Consolidated Standards for Inspection of Prerequisite and Food Safety Programs. The criteria for this activity can be found in Item 3, Good Manufacturing Practices / Prerequisite Program Requirements. If the plant is not currently inspected or audited by AIBI, this will be the first step in the Accreditation Process. Please note, only the first GMP inspection can be announced. After that, all GMP inspections will be unannounced.

### HACCP Plan Review

- ii) Arrangements will be made to review your HACCP Manual (see HACCP Manual Requirements, Section 4, and Appendix III for an overview of this requirement). It is recommended that you do not submit original documents. Each plant will be required to submit their Manual to AIBI for review prior to the audit to ensure they are ready for HACCP Accreditation Audit. Any limitations to the scope of the audit must be approved by AIBI/GFTC and cannot be changed during the accreditation cycle.
- iii) A “desk-top” review of the HACCP Manual will take place to ensure that all seven principles of HACCP and prerequisite programs have been adequately explained. In addition, the “scientific” basis for selection of Critical Control Points and the Critical Limits needs to be established.
- iv) Any major discrepancies or omissions, as required by government regulation, Codex, HACCP Principles, or other identified organizations, will be identified during the manual review. The plant would be responsible for re-submitting the manual when requested.
- v) The company will receive HACCP Manual review for the prerequisite programs, HACCP Principles and CCP / CL acceptability in approximately 4-6 weeks of the Manual’s submission. All parties (AIBI, GFTC, and Plant) must accept the HACCP Manual before an on-site audit can be performed.

### In-Plant HACCP Audit

- vi) Upon completion of the HACCP Manual review, a HACCP Accreditation Audit will take place, on-site, at your facility. This

evaluation will include all the information included in the HACCP Manual, employee training, HACCP record requirements and the eight (8) required Prerequisite Programs (see HACCP Prerequisite Program Requirements Appendix II). The AIBI Food Safety inspection or GFTC GMP audit report must be available at the plant and may be reviewed by the HACCP Audit Team during the on-site Accreditation Audit. The plant must also have at least 90 days of HACCP CCP records (based on the final HACCP Manual review) available at the time of the Accreditation Audit.

- vii) Accreditation Audits will be either two to four days, with one or two auditors, depending on the size and complexity of the facility. An outline of the Recommended Agenda for the HACCP Accreditation Audit is presented in Appendix VII.

#### Certificate of HACCP Accreditation

- viii) Following a successful on-site evaluation, HACCP Accreditation will be granted. The Accreditation will be valid for up to 3 years (see item 2. D. Audit Frequencies), providing follow-up audits verify that HACCP records are being completed in accordance with the HACCP Manual, Prerequisite Programs are in place, and the AIBI Food Safety inspection or GFTC GMP audit score does not fall below the requirement listed above. If the plant is in the Gold Standard, the HACCP Accreditation is valid for two years.

A Certificate of HACCP Accreditation (see example certificate Appendix VIII) will be issued after the successful on-site audit and will be renewed annually after successful completion of the HACCP Verification Audit.

A HACCP Verification Checklist will be, sent to the facility by AIBI Audit Services shortly after the on-site successful Accreditation Audit. A new HACCP Verification Procedure Manual will be issued by, the Accreditation Company as changes are made to the procedures.

#### Annual Follow up Inspections and Audits

- ix) At least one unannounced AIBI Food Safety inspection or GFTC GMP audit will be conducted on an annual basis. This will include the HACCP Verification requirement and will add approximately ½ day to the normal inspection time. See Item 6, Maintaining the Accreditation. If you are in the Gold Standard program you must have one unannounced GMP/HACCP Verification audit to report on the corrective actions from the Accreditation Audit. Extra audits

may be necessary if corrective action was not effectively implemented.

**C. Unsuccessful Accreditation Audit:**

In the event that uncorrectable Critical or numerous Major findings are identified during the Accreditation Audit, the facility may decide to stop the Accreditation Audit or complete the audit as planned. In either event, the plant will have the following options would apply:

- a. The plant can continue the audit and accept the results of the audit. The lead auditor and AIB Management will review the audit report and decide if the corrective action plan and supporting documentation can be accepted or that a return follow-up audit will be necessary to verify effective implementation. One or two auditors may be required during the follow-up audit depending on if it is a corrective action audit or a full Accreditation Audit. The corrective action audit can be scheduled 30-120 days or earlier if approved by AIB Management.
- b. The plant can discontinue the audit. The team will complete the portions of the audit completed, submit the report for review to AIB and sent the report to who is on the distribution list.

In the case of any of the two options, the plant will be charged for the full audit plus appropriate expenses.

**D. Audit Frequencies:**

Follow-up Verification Audits are required during the term of the HACCP Accreditation to ensure that the program continues to operate effectively. The frequency of follow-up Verification Audits depends on the risk level of the products manufactured under a HACCP Plan. Audit frequencies are as follows:

Risk Level	HACCP Accreditation	HACCP Verification	Food Safety/GMP Audit
Class 1	Every 2 years *	1 every year	2 every year
Class 2	Every 2 years *	1 every year	1 every year
Class 3	Every 3 years *	1 every year	1 every year

\* HACCP Accreditation audits could also be triggered by changes in product lines or the addition of high risk foods. The company is responsible for letting AIB or GFTC know about new product lines and additional product types. At the conclusion of the designated HACCP Accreditation period, a complete Accreditation Audit must be performed in order to renew the Accreditation.

**Class 1:** These processing establishments require a number of complex control procedures to ensure product safety, usually involving a kill step or some other

control to reduce, eliminate, or control specific microbial, chemical, or physical contaminants. Many of these products are considered ready-to-eat without further processing by the consumer. Loss of control within these establishments could result in a significantly high health risk.

Companies utilizing the following or similar processes would be found in Class 1:

Pasteurization, heat treatment, drying, freezing (particularly dairy products, processed egg), thermal processing (low acid/acidified low acid canned foods); cooking, drying, fermentation, and acidification of ready to eat meat, seafood and dairy products; meat slaughtering, meat cutting/boning/grinding and reformatting of meat assembling where a kill step is employed; packaging and cooking of “sous-vide” products, formulating sole source nutrition products such as infant formula and liquid diets, and ready to serve meals (food service & restaurants).

**Class 2:** Consists of establishments that process products that are potentially hazardous, however, the processing controls are only designed to minimize the potential for adding to the microbiological, chemical, or physical contamination of the product (example: include temperature control). The processes do not involve a kill step. Most of the products in this list are to be further-processed by the consumer and specific handling and storage instructions are required to ensure food safety. While it is necessary to minimize these risks, deviations will only moderately increase health risks associated with the final products.

Companies utilizing the following or similar processes would be found in Class 2:

Washing, grading, packing of shell eggs, meat slaughtering, meat cutting/boning/grinding and reformatting of meat; fresh cutting and modified atmosphere or vacuum packaging of vegetables; cutting of butter and cheese; cold packing cheese.

**Class 3:** Consists of establishments preparing products which do not pose a significant health hazard by themselves and the processing and other activities to which they are exposed represent little or no additional risk. Products may be ready-to-eat or further- processed by the consumer prior to consumption.

Companies utilizing the following or similar processes would be found in Class 3:

Thermal processing, aseptic processing of high acid foods, maple processing, honey processing; freezing, drying, cutting, and packaging or packing of fruits; freezing, drying, cutting, and packaging or packing of vegetables; warehousing and storage facilities (dry or freezer); bakeries, and confectioneries.

#### **E. Use of the Accreditation Trademark:**

A company attaining an Accreditation Certificate under the HACCP Accreditation Program may use the AIBI / GFTC Accreditation Mark along with the phrase

"Accredited by the AIBI / GFTC HACCP Accreditation Program" on its certificates, stationary, literature and website, subject to the conditions below.

- a. The Accreditation Mark shall be reproduced:
  - In black or in the predominant color of the letterhead or printing;
  - On a clearly contrasting background;
  - In a size which makes all features of the mark clearly distinguishable. The diameter being in no case less than 10 mm.
- b. When using the Accreditation Mark and the supplementary text described above, the meaning of the Accreditation shall be made as clear as possible.
- c. The Accreditation Mark shall not be used in such a way as to suggest that AIBI / GFTC has registered or approved any product or service of an accredited company, or in any misleading manner. The Mark cannot be used on product packaging or labeling.
- d. If necessary, AIBI / GFTC will develop other requirements with regard to the use of marks in consultation with other companies and accreditation organizations. Such requirements will be made part of the registration agreement and the accredited company will immediately be subject to such requirements.
- e. Companies receiving HACCP Accreditation will be listed on the AIBI and GFTC websites (HACCP Accreditation) unless notification, in writing, is provided to the Audit Company.

### **3. GOOD MANUFACTURING PRACTICES / PREREQUISITE PROGRAM REQUIREMENTS**

The first requirement for HACCP Accreditation is that a facility must achieve either:

- i) An 800 score on an AIBI Food Safety inspection, with no Category below 160;
- ii) A minimum score of 85% on a GFTC GMP audit with no program area below 85%.

The AIBI or GFTC GMP Audit Standard outlines the requirements for this section. In addition to meeting these requirements, the company must demonstrate that the HACCP Prerequisite Programs are in place and effective. These Programs and their basic requirements are described in Appendix II. Additional information may be requested by, the Accreditation Team.

#### **4. HACCP MANUAL REQUIREMENTS**

Each Accredited HACCP facility will have a HACCP Manual. The HACCP Manual will consist of the following components:

- a. **Company / Plant Description:** A description of the company, its location, business, and products covered by the HACCP Plan(s). This information is critical to the understanding of the principle processing activities at the location.
- b. **HACCP Team Description:** A team of employees familiar with HACCP requirements, plant operations, and food safety should develop a HACCP Plan. The HACCP Team members should be identified by name and job title. The HACCP Coordinator should also be identified, as well as the Coordinator's qualifications, training and HACCP knowledge. Other members' training may also be included.
- c. **Prerequisite Programs:** There are eight (8) basic Prerequisite Programs that must be in place before a HACCP Plan can be effectively implemented. Implementation of these programs allows the HACCP Plan to focus on food safety as it relates to the specific raw ingredients and process (es) associated with a specific product line. At minimum, the Prerequisite Programs should be described well enough to adequately demonstrate that each is in place and being effectively utilized at the facility. Information should include a basic program description, where the program resides, who is responsible, how the program is managed, and where records that confirm the program is completed, documented, monitored, inspected and where audit records are kept. Where required by regulation, more detailed information on Prerequisite Programs may be required. The eight (8) Prerequisite Programs are noted in Appendix II. The HACCP Accreditation Checklist is contained in Appendix III.
- d. **Ingredient Hazard Analysis:** A Hazard Analysis must be completed for each Raw Material used in the facility. This analysis will identify any Biological, Chemical or Physical Hazards in the raw material and the likelihood and severity of those hazards. In addition, any prerequisite program for controlling hazards and any elimination programs must be identified.
- e. **Product Description:** This will identify the product or family of products produced on the process line represented by the HACCP Plan. This description will consist of three parts – a) general description of the product or products represented; b) Technical information about the product or products; and c) food safety issues associated with the product or products and programs in place that will control or eliminate these issues. This must be, signed by the most senior management representative located at the plant.

- f. Process Flow Diagram: The HACCP Manual must include a flow diagram(s) of each process line for which there is a HACCP Plan. The flow diagram(s) must identify the Critical Control Point(s).
- g. Process Hazard Analysis Worksheet: A Hazard Analysis Worksheet, identifying all potential Biological, Chemical, and Physical hazards for each process step shown on the Process Flow Diagram must be included in the HACCP Manual. This analysis should include the likelihood and severity of the hazards identified. An example of a Process Hazard Analysis Worksheet is shown in Appendix IV.
- h. HACCP Master Plan: A summary sheet that identifies the process step, potential hazard, Critical Control Point, Critical Limit, Monitoring frequency, Corrective Action procedure, Verification procedure, and Record Keeping Report for each Critical Control Point on any process must be part of the HACCP Manual. This must be, signed by the most senior management representative located at the plant. An example HACCP Master Plan is shown in Appendix V.
- i. Deviation or Corrective Action Report: It is recommended that a blank copy of the Deviation or Corrective Action Report be part of the HACCP Manual. This form will outline who is responsible, what will be done to bring the CCP requirements back into line, how product was held, handled and how the deviation will be corrected to ensure that it does not re-occur. An example Notice of Unusual Occurrence and Corrective Action (NUOCA) Form is shown in Appendix VI.

## 5. HACCP PLAN REQUIREMENTS

Every Accredited HACCP facility will have a HACCP Plan for each unique process line. Each Plan will have documentation on several required components. These components are based on the International Standards for HACCP, as defined by Codex Alimentarius and the U.S. National Advisory Committee on Microbiological Criteria for Foods.

These two bodies define the seven Principles of HACCP as:

***Principle 1: Conduct a Hazard Analysis***

***Principle 2: Determine Critical Control Points***

***Principle 3: Establish Critical Limits***

***Principle 4: Establish Monitoring Procedures***

***Principle 5: Establish Deviation (Corrective Action) Procedures***

***Principle 6: Establish Verification Procedures***

***Principle 7: Establish Record-Keeping Procedures***

Each required component and the checklist used to evaluate your Prerequisite Programs and HACCP Plan(s) are given in Appendix II and III. Additional information may be, requested by the Accreditation Team.

A HACCP Plan requires a very rigorous evaluation of food safety issues (Biological, Chemical, and Physical) associated with the raw material, product, and process. Every opportunity for any food safety hazards must be identified. Once identified, control programs and/or process steps must be established to reduce the hazard to an acceptable level or eliminate the issue (Critical Control Point or CCP). Critical Limits (CL) must be scientifically established for each CCP.

Records must be maintained by trained personnel to ensure that CLs are met for each production run or lot. Finally, these records must be maintained in a manner to be available for review within a reasonable period of time (current records (last 6 months) must be immediately available; stored records should be accessible within 24 hours). A checklist used to evaluate HACCP Plan development is shown in Appendix III. Additional information may be, requested by the Accreditation Team.

One of the requirements of HACCP is Validation of the HACCP Plan (before implementation and at least annually after implementation). The HACCP Accreditation Team will request and review Validation data of Critical Limits (science basis for limits), data on the Critical Control Points (do they work), data on Sanitation (Elisa, ATP, Bio-luminescence, etc.), and any other areas or activities where potential significant consumer risk is possible. Validation must review the effectiveness of all prerequisite programs.

The plant HACCP Team must validate the HACCP Plan on at least a yearly basis. This validation activity must be documented and would include, but would not be limited to, a review of product changes, flow diagrams, hazard analysis, any CCP deviations, HACCP audits, consumer complaints, regulatory / third party audit findings, new hazards, or food safety product recalls, etc.

## **6. MAINTAINING THE HACCP ACCREDITATION**

Following a successful on-site evaluation, a certificate of HACCP Accreditation will be issued. This Accreditation will be valid for up to 3 years (please see the classification table on page 6), providing that follow-up audits verify that HACCP records are being completed in accordance with the HACCP Plans, Prerequisite Programs are in place, and AIBI Food Safety inspection or GFTC GMP audit score does not fall below required levels. Certificates will be renewed annually after the successful completion of the HACCP Verification Audit.

A HACCP Accreditation Certificate acknowledges that an Audit Team from AIBI and GFTC has evaluated a company's HACCP Plan and Prerequisite Programs. Based on the collective knowledge of the Audit Team, the presentation and review of the company's documentation, and the science known by the company and Audit Team at that time, Accreditation acknowledges that the company had an appropriate food safety program in

place at the time of the audit. All HACCP Accreditation audits are peer reviewed and the audit results are not final until that review has taken place and the audit results are formally approved.

After achieving Accreditation, a company is responsible for following the procedures established in their HACCP Plan and Prerequisite Programs. Documentation of all activities and corrective action for deficiencies is required. The company's HACCP Team must complete a HACCP Plan Validation at least annually and have documented evidence for HACCP Plan review as changes are made to the products, the processes or new raw materials. Additionally, the company is responsible for the continuous monitoring of relevant food safety science, and the application of this science, to its raw materials, processes, and products as to its impact on food safety.

AIBI or GFTC will conduct an annual unannounced Food Safety inspection or GMP audit and HACCP Verification Audit to verify HACCP and Prerequisite Program compliance. Failure in either of these criteria (Food Safety/GMP or HACCP) will require submission of corrective action plan within 30 days to the HACCP Coordinator ([hnorsworthy@aibonline.org](mailto:hnorsworthy@aibonline.org)) and the HACCP Auditor. After review of the corrective action plan, the Audit Company will decide if the corrective action plan with supporting evidence can be accepted or that it will be necessary to have a corrective action audit within 30-120 days. If numerous food safety audit findings are noted, the audit company reserves the right to conduct a complete GMP or HACCP Accreditation Audit of the Prerequisite programs and HACCP Plan. Failure on the corrective action audit or complete re-audit will result in a loss of HACCP Accreditation. The second audit failure will require the plant to discuss future options for re-entering the program. Additional audits will be at the company's expense. The GMP and HACCP Verification audits will be unannounced and the Corrective Action and HACCP Accreditation Audits will be announced.

At the completion of the HACCP Accreditation term, a Manual review and full Accreditation Audit will be performed, similar to the initial process. After successful completion of the final Verification Audit (see item 2.D.), the Accreditation Company will send a notification letter that will outline the timeframe and requirements for the Re-Accreditation process.

Please complete the form below and mail or e mail to Leslie Ackerman and Hannah Norsworthy, 1213 Bakers Way, Manhattan, KS 66505 Phone (785) 537-4750 Fax (785) 537-0106.

## APPENDIX I

### Application for HACCP Accreditation

*\* The information provided by the applicant on, and included with, this form is confidential\**

1. Company Name: \_\_\_\_\_  
Facility Address: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
Phone: \_\_\_\_\_ Fax: \_\_\_\_\_  
Mailing Address: \_\_\_\_\_  
(If different) \_\_\_\_\_
2. Prime Contact Person: \_\_\_\_\_  
Title: \_\_\_\_\_  
Mailing Address: \_\_\_\_\_  
(If different) \_\_\_\_\_  
\_\_\_\_\_  
Phone: \_\_\_\_\_ Fax: \_\_\_\_\_  
Email address: \_\_\_\_\_
3. Who will be responsible for the invoice (include name, title, mailing address, phone, fax #s if different from above)?  
\_\_\_\_\_  
\_\_\_\_\_
4. Who should receive a copy of the report (include name, title, mailing address, phone, fax #s if different from above)?  
\_\_\_\_\_  
\_\_\_\_\_
5. Physical description of the facility (location, separate or part of another facility, size, supplier to, etc.)  
\_\_\_\_\_  
Process Lines (number): \_\_\_\_\_  
Products Produced (type): \_\_\_\_\_
6. Please indicate your parent company:  
\_\_\_\_\_  
\_\_\_\_\_
7. Are you currently in the:  
AIB Food Safety Inspection Program \_\_\_\_\_ GFTC GMP Audit Program \_\_\_\_\_ Neither \_\_\_\_\_

"We acknowledge the receipt of the HACCP Accreditation Program Manual issued by AIB International / GFTC and understand the criteria stated and the conditions under which Accreditation will be granted."

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

## Appendix II Hazard Analysis Critical Control Point (HACCP) Standard

### Prerequisite Programs Checklist

REQUIREMENTS	RESULTS / COMMENTS
<b>1. SANITATION</b>	
<b>Plant has a documented Sanitation Program</b>	
◆ Master Cleaning Schedule has been developed.	
<ul style="list-style-type: none"> <li>● Facility (floors, walls, non-processing equipment, etc. are included.</li> <li>● All raw material handling, storage and process equipment are included. No critical omissions observed.</li> <li>● Processing and cleaning utensils are included.</li> </ul>	
◆ Written cleaning procedures are developed for all plant areas and equipment.	
<ul style="list-style-type: none"> <li>● Food contact surfaces have been identified.</li> <li>● Chemicals, chemical concentration, detailed cleaning procedures, etc. identified.</li> <li>● Post-maintenance equipment cleaning required for food contact surfaces.</li> </ul>	
◆ Cleaning activities are documented.	
<ul style="list-style-type: none"> <li>● Appropriate procedures used to verify cleaning chemical concentration.</li> <li>● Appropriate used to verify equipment rinse procedure following sanitation.</li> <li>● Post sanitation and/or pre-start up inspections completed.</li> </ul>	
◆ Corrective action is documented for any sanitation deviation, including but not limited to visual findings, findings from Micro, ATP, Allergen, etc.	
◆ Plant has validated cleaning procedures using ATP, Allergen micro swabs, etc.	
<b>2. GMP PROGRAMS</b>	
<b>Plant has documented 3<sup>rd</sup> party inspections</b>	
<b>Plant has a documented Internal Inspection Program</b>	
◆ Internal inspections required and completed as scheduled.	
◆ Corrective action is required and documented.	
<b>Plant has a documented Internal Audit Program for Procedures and Activities</b>	
◆ Results completed and documented as scheduled.	
◆ Corrective action and verification is required and documented.	
<b>Plant has documented GMP Programs</b>	
◆ Personnel Hygiene Program	



REQUIREMENTS	RESULTS / COMMENTS
<ul style="list-style-type: none"> <li>Employee uniform policy.</li> </ul>	
<ul style="list-style-type: none"> <li>Employee glove policy</li> </ul>	
<ul style="list-style-type: none"> <li>Cuts, open sores, illness, etc. policy</li> </ul>	
<ul style="list-style-type: none"> <li>◆ Blood Borne Pathogen/Body Fluid Program</li> </ul>	
<ul style="list-style-type: none"> <li> <ul style="list-style-type: none"> <li>Clean up kit available</li> </ul> </li> </ul>	
<ul style="list-style-type: none"> <li>◆ Metal Detector Reject Review Program</li> </ul>	
<ul style="list-style-type: none"> <li>◆ Sifter or other Foreign Material Review Program (if applicable)</li> </ul>	
<ul style="list-style-type: none"> <li>◆ Air Quality Program</li> </ul>	
<ul style="list-style-type: none"> <li>◆ Glass, Brittle Plastic and Ceramic Control Program</li> </ul>	
<ul style="list-style-type: none"> <li>◆ Identification and analysis of waste and by product handling requirements (if applicable)</li> </ul>	
<p><b>Plant has a documented Buildings and Ground Program</b></p>	
<ul style="list-style-type: none"> <li>◆ Sanitary design and construction standards are established</li> </ul>	
<ul style="list-style-type: none"> <li>◆ Condition of building, exterior and grounds do not impact food safety.</li> </ul>	
<ul style="list-style-type: none"> <li>◆ Building interior, maintenance, design, construction, lighting, ventilation, foot traffic, etc support food safety</li> </ul>	
<ul style="list-style-type: none"> <li>◆ Product flow is designed to reduce or eliminate the potential for cross contamination</li> </ul>	
<ul style="list-style-type: none"> <li>◆ Sanitary facilities (rest rooms and hand washing facilities) properly maintained.</li> </ul>	
<p><b>Plant has a documented Water Quality Program</b></p>	
<ul style="list-style-type: none"> <li>◆ A water quality certificate is on file (city water) or annual checks completed (well).</li> </ul>	
<ul style="list-style-type: none"> <li>◆ Internal water analysis (TPC/coliform) completed per plant schedule (at least twice per year)</li> </ul>	
<ul style="list-style-type: none"> <li>◆ Ice is tested or a COA is available (if applicable) for TPC/Coliform</li> </ul>	
<ul style="list-style-type: none"> <li>◆ Back flow preventer(s) or air gap in place           <ul style="list-style-type: none"> <li>Location(s) identified (must be on the main water line)</li> </ul> </li> </ul>	
<ul style="list-style-type: none"> <li> <ul style="list-style-type: none"> <li>Annual certification completed on main water line.</li> </ul> </li> </ul>	
<ul style="list-style-type: none"> <li>◆ Hoses have check valve at inlet           <ul style="list-style-type: none"> <li>Check valves are dated and replaced on pre-scheduled basis</li> </ul> </li> </ul>	
<p><b>Plant has a documented Transportation and Storage Program</b></p>	
<ul style="list-style-type: none"> <li>◆ Food carriers and distribution vehicles are inspected prior to unloading/loading</li> </ul>	



REQUIREMENTS	RESULTS / COMMENTS
<ul style="list-style-type: none"> <li>Truck identification, driver identification, seals, etc are checked and documented</li> </ul>	
<ul style="list-style-type: none"> <li>Bulk tank number recorded</li> </ul>	
<ul style="list-style-type: none"> <li>Bulk tank wash ticket required and inspected</li> </ul>	
<ul style="list-style-type: none"> <li>Wash ticket for each load or within schedule</li> </ul>	
<ul style="list-style-type: none"> <li>Bulk truck seals verified against supplier documents</li> </ul>	
<ul style="list-style-type: none"> <li>◆ Appropriate facilities for raw material and finished product storage are provided</li> </ul>	
<ul style="list-style-type: none"> <li>• Date of receipt recorded</li> </ul>	
<ul style="list-style-type: none"> <li>• Lot number recorded</li> </ul>	
<ul style="list-style-type: none"> <li>◆ Temperature controls are appropriate and monitored.</li> </ul>	
<p><b>Plant has a documented Equipment Maintenance Program</b></p>	
<ul style="list-style-type: none"> <li>◆ Design standards established</li> </ul>	
<ul style="list-style-type: none"> <li>• Equipment is designed for the process.</li> </ul>	
<ul style="list-style-type: none"> <li>◆ Equipment calibration procedures established and documented</li> </ul>	
<ul style="list-style-type: none"> <li>◆ Equipment maintenance procedures established and documented</li> </ul>	
<ul style="list-style-type: none"> <li>• Preventative</li> </ul>	
<ul style="list-style-type: none"> <li>• Emergency</li> </ul>	
<ul style="list-style-type: none"> <li>• Temporary</li> </ul>	
<ul style="list-style-type: none"> <li>• Contractor Approval program documented and implemented</li> </ul>	
<ul style="list-style-type: none"> <li>• Contractor GMP training required</li> </ul>	
<ul style="list-style-type: none"> <li>• Contractor GMP training documented</li> </ul>	
<ul style="list-style-type: none"> <li>• Procedures to react to equipment generated contamination are documented.</li> </ul>	
<p><b>Plant has a documented Training Programs</b></p>	
<ul style="list-style-type: none"> <li>◆ GMP</li> </ul>	
<ul style="list-style-type: none"> <li>◆ Personnel Hygiene</li> </ul>	
<ul style="list-style-type: none"> <li>◆ Sanitation</li> </ul>	
<ul style="list-style-type: none"> <li>◆ Personal Safety</li> </ul>	
<ul style="list-style-type: none"> <li>◆ HACCP</li> </ul>	
<ul style="list-style-type: none"> <li>• General training for all employees</li> </ul>	
<ul style="list-style-type: none"> <li>• Specific training for personnel at CCP's</li> </ul>	
<ul style="list-style-type: none"> <li>◆ All training activities documented</li> </ul>	
<p><b>3. FOOD SAFETY CUSTOMER COMPLAINTS</b></p>	
<p><b>Plant has a documented Customer/Consumer Complaint Program.</b></p>	
<ul style="list-style-type: none"> <li>◆ Food safety complaints available at the plant</li> </ul>	
<ul style="list-style-type: none"> <li>◆ Food Safety complaints separated from all other complaints</li> </ul>	
<ul style="list-style-type: none"> <li>◆ Annual documented evaluation of food safety complaints by HACCP Team</li> </ul>	



REQUIREMENTS	RESULTS / COMMENTS
◆ All food safety complaints investigated using root cause analysis	
• Corrective action procedure in-place	
• Corrective action has been documented.	
<b>4. TRACEABILITY AND RECALL</b>	
<b>Plant has a documented Traceability Program</b>	
◆ Name of records required for tracing product identified	
◆ Location of trace records identified.	
◆ Lot identification procedures are included.	
◆ Includes all raw materials, process aids and contact packaging.	
◆ Traceability exercises conducted at least twice annually (approximately six months apart).	
• Traceability exercise results and corrective action(s) are documented.	
• Traceability exercise has been completed backwards (Supplier information, delivery vehicle identification, date and quantity of receipt)	
• Traceability exercise has been completed forwards (First point of shipment)	
• Traceability exercise effectiveness is documented. (At least two customers - contacted or accounting review)	
○ Customer data confirms plant data	
<b>Plant has a documented Recall Program</b>	
◆ Plan is plant specific	
◆ Plant Recall Team members identified	
• Coordinator identified	
• Alternates identified	
◆ Emergency contact numbers available	
◆ Roles and responsibilities for all Team Members documented	
• Method to identify and locate products (Traceability Program) identified	
• Recall exercise performed at least annually	
• Results are documented.	
• Exercise time (from initial call to first team member to exercise completion) documented	
◆ Post Recall exercise evaluation completed and documented.	
• Follow up to issues identified and addressed	
<b>5. CHEMICAL CONTROL PROGRAM</b>	
<b>Plant has a documented Chemical Control Program</b>	
◆ Chemical approval process identified for all plant chemicals	
◆ A Chemical Log is available.	



REQUIREMENTS	RESULTS / COMMENTS
<ul style="list-style-type: none"> <li>• All chemicals are identified</li> </ul>	
<ul style="list-style-type: none"> <li>• Sanitation chemical quantities agree with Chemical Inventory.</li> </ul>	
<ul style="list-style-type: none"> <li>◆ Chemical storage maintains control of chemicals</li> </ul>	
<ul style="list-style-type: none"> <li>◆ Chemical storage allows for separation of chemical types</li> </ul>	
<ul style="list-style-type: none"> <li>• Sanitation</li> </ul>	
<ul style="list-style-type: none"> <li>• Pest Control</li> </ul>	
<ul style="list-style-type: none"> <li>• Maintenance</li> </ul>	
<ul style="list-style-type: none"> <li>• Boiler</li> </ul>	
<ul style="list-style-type: none"> <li>○ Approved for incidental food contact if steam comes in direct contact with food</li> </ul>	
<ul style="list-style-type: none"> <li>• Laboratory</li> </ul>	
<ul style="list-style-type: none"> <li>◆ MSDS available for all chemicals</li> </ul>	
<ul style="list-style-type: none"> <li>• Food contact approval documentation for product and product contact surface chemicals.</li> </ul>	
<ul style="list-style-type: none"> <li>◆ Contractor chemical approval procedure available</li> </ul>	
<ul style="list-style-type: none"> <li>• Approval procedure identified</li> </ul>	
<ul style="list-style-type: none"> <li>• MSDS available</li> </ul>	
<ul style="list-style-type: none"> <li>◆ Any Chemical Food Safety concerns observed</li> </ul>	
<p><b>6. INTEGRATED PEST MANAGEMENT</b></p>	
<p><b>Plant has a documented Integrated Pest Management Program</b></p>	
<ul style="list-style-type: none"> <li>◆ Individual responsible (plant personnel) is identified</li> </ul>	
<ul style="list-style-type: none"> <li>◆ There is a certified PCO on staff (if applicable)</li> </ul>	
<p>External Service</p>	
<ul style="list-style-type: none"> <li>◆ An outside pest control service is used (Name)</li> </ul>	
<ul style="list-style-type: none"> <li>• Company's license is available and current</li> </ul>	
<ul style="list-style-type: none"> <li>○ Business license is for working in food plants</li> </ul>	
<ul style="list-style-type: none"> <li>• Insurance is available and current.</li> </ul>	
<ul style="list-style-type: none"> <li>• Applicator's license available and current</li> </ul>	
<ul style="list-style-type: none"> <li>○ License is for working in food plants</li> </ul>	
<p>Internal or External</p>	
<ul style="list-style-type: none"> <li>◆ Record of pest control chemicals</li> </ul>	
<ul style="list-style-type: none"> <li>• All pest control chemicals identified</li> </ul>	
<ul style="list-style-type: none"> <li>• Pest control chemicals used according to label directions</li> </ul>	
<ul style="list-style-type: none"> <li>• MSDS sheets are available</li> </ul>	
<ul style="list-style-type: none"> <li>• Pest control chemicals stored in accordance with state and federal regulations (if applicable)</li> </ul>	
<ul style="list-style-type: none"> <li>◆ Inspection or service reports are available</li> </ul>	
<ul style="list-style-type: none"> <li>• All pest activity is recorded</li> </ul>	
<ul style="list-style-type: none"> <li>◆ Pest control device information is on file</li> </ul>	
<ul style="list-style-type: none"> <li>• Map of all pest control devices is available</li> </ul>	
<ul style="list-style-type: none"> <li>• All rodent bait stations are located outside the facility</li> </ul>	



REQUIREMENTS	RESULTS / COMMENTS
<ul style="list-style-type: none"> <li>○ Type of bait (liquid, granular, block) identified</li> </ul>	
<ul style="list-style-type: none"> <li>● Pheromone trap information noted</li> </ul>	
<ul style="list-style-type: none"> <li>○ Pheromone traps are dated and current</li> </ul>	
<ul style="list-style-type: none"> <li>● Insect light traps noted</li> </ul>	
<ul style="list-style-type: none"> <li>○ Light bulbs changes recorded and current.</li> </ul>	
<ul style="list-style-type: none"> <li>◆ Corrective action for pest activities is documented and recorded</li> </ul>	
<ul style="list-style-type: none"> <li>◆ List any repeat or uncontrolled pest activity.</li> </ul>	
<p><b>7. ALLERGEN CONTROL PROGRAM</b></p>	
<p><b>Plant has a documented Allergen Control Program</b></p>	
<ul style="list-style-type: none"> <li>◆ Recognized allergens listed according to country and country of export requirements.</li> </ul>	
<ul style="list-style-type: none"> <li>◆ All allergen containing raw materials, contact packing, process aids and incidental food contact chemicals, i.e. lubricants are included.</li> </ul>	
<ul style="list-style-type: none"> <li>◆ Chemical sensitivities are addressed in this or in another procedure</li> </ul>	
<ul style="list-style-type: none"> <li>◆ Warehouse has designated allergen storage area</li> </ul>	
<ul style="list-style-type: none"> <li>● Allergens are clearly identified.</li> </ul>	
<ul style="list-style-type: none"> <li>● Like allergens stored like above like</li> </ul>	
<ul style="list-style-type: none"> <li>◆ All allergen containing formula identified</li> </ul>	
<ul style="list-style-type: none"> <li>◆ Weigh area control procedures identified and implemented</li> </ul>	
<ul style="list-style-type: none"> <li>● Allergen containers have individual scoops or measuring devices</li> </ul>	
<ul style="list-style-type: none"> <li>◆ All critical process/plant areas and equipment identified where there is a possibility for cross contamination.</li> </ul>	
<ul style="list-style-type: none"> <li>◆ Cleaning procedures and records of cleaning between allergen runs are documented.</li> </ul>	
<ul style="list-style-type: none"> <li>● Allergen cleaning activities documented and record corrective action</li> </ul>	
<ul style="list-style-type: none"> <li>◆ Rework control implemented.</li> </ul>	
<ul style="list-style-type: none"> <li>● “Like into Like” procedure used</li> </ul>	
<ul style="list-style-type: none"> <li>● Rework usage documented</li> </ul>	
<ul style="list-style-type: none"> <li>◆ Package labels for allergen containing products have appropriate allergens in their ingredient statement.</li> </ul>	
<p><b>8. APPROVED SUPPLIER PROGRAM</b></p>	
<ul style="list-style-type: none"> <li>◆ Current list of approved and non-approved suppliers of goods and services that can impact food safety</li> </ul>	
<ul style="list-style-type: none"> <li>◆ Evaluation, selection and monitoring of suppliers has defined procedures and records,</li> </ul>	
<ul style="list-style-type: none"> <li>◆ Evaluation criteria includes but not limited to:</li> </ul>	
<ul style="list-style-type: none"> <li>● Product Safety Requirements are defined</li> </ul>	
<ul style="list-style-type: none"> <li>● HACCP or similar application is used by supplier</li> </ul>	



REQUIREMENTS	RESULTS / COMMENTS
• Regulatory Defect Action Levels (DALs) for food safety or other sector specific guidelines are known (if applicable).	
• Record of supplier evaluations and any necessary corrective actions are documented.	
◆ Procedure to react to Supplier Food Safety Incident is documented.	

## Appendix III Hazard Analysis Critical Control Point (HACCP) Standard

### HACCP Manual & HACCP Plan Checklist

REQUIREMENTS	RESULTS / COMMENTS
<b>SECTION 1. PLANT INFORMATION</b>	<i>This is a descriptive section telling about the plant, where it is located, who is in charge and products produced.</i>
◆ Plant description is completed	
• Address and contact information available	
◆ Management Team is identified	
◆ History of operation is completed	
◆ Location of plant is identified	
◆ Products produced are listed	
<b>SECTION 2. HACCP TEAM</b>	<i>This is a description of the HACCP Team.</i>
◆ HACCP Team is identified	
◆ HACCP Coordinator is identified	
• Training of the HACCP Coordinator identified	
◆ HACCP Team represents all aspects of operation	
◆ HACCP Team members participate in and understand the HACCP Plan development and implementation.	
<b>SECTION 3. PREREQUISITE PROGRAMS</b>	<i>Each Prerequisite Program identified in the Process Hazard Analysis should be described in the manual. Information should be comprehensive enough that the reader will know the program is in effect, where it can be located and who is responsible for it.</i>
◆ Sanitation Program	
◆ Good Manufacturing Practices (GMPs)	
◆ Customer Complaint Program	
◆ Pest Control Program	
◆ Chemical Control Program	
◆ Recall Program	
◆ Allergen Control Program	
◆ Approved Supplier Program	
◆ Any other Prerequisite Program or Process Control identified in the Process Hazard Analysis, e.g. Microbiological testing.	
<b>SECTION 4. RAW MATERIAL HAZARD ANALYSIS</b>	<i>A Hazard Analysis should be completed for each raw material used in the plant. Often a single hazard analysis will be completed for all raw materials. The Raw Material Hazard Analysis will focus on Biological, Chemical and Physical hazards associated with the raw material. Quality issues should not be addressed in this analysis.</i>
◆ All raw materials have been identified.	
• Contact packaging and process aids included as applicable	
◆ All biological, chemical and physical hazards have been noted.	

REQUIREMENTS	RESULTS / COMMENTS
◆ Hazards have been assessed using likelihood and severity.	
◆ Control measures have been developed and are effective to control all hazards.	
◆ External resources used to supplement Team	
<b>SECTION 5. PRODUCT DESCRIPTION</b>	A Product Description must be completed for each process or family of products. This description will include general information about the product, a technical description of the product and package, and food safety issues and their control associated with the product.
<b>Finished Product or Process</b>	
◆ Finished product or process description is provided.	
◆ Distribution and storage conditions are outlined.	
◆ Product use and consumer is identified.	
◆ Sensitive group(s) (elderly, infirm, children, etc.) is (are) identified.	
◆ A technical description of the product or process is given.	
◆ Product shelf life and lot identification is identified.	
◆ Possible food safety and misuse are identified.	
◆ Food safety control activities identified for each possible food safety issue.	
◆ Product Description is signed and dated by the senior management representative.	
<b>SECTION 6. FLOW DIAGRAM</b>	A flow diagram should be completed for each process. This should start with raw material receiving and continue through the individual processing steps. The flow diagram should be detailed enough to show each processing step and each CCP.
◆ A detailed Process Flow has been developed.	
<ul style="list-style-type: none"> <li>• Process Flow Diagram starts with Receiving and ends with Distribution / Shipping.</li> </ul>	
<ul style="list-style-type: none"> <li>• All process steps are identified.</li> </ul>	
<ul style="list-style-type: none"> <li>• Waste, byproducts and rework streams are listed (if applicable).</li> </ul>	
<ul style="list-style-type: none"> <li>• Each CCP is identified on the flow diagram</li> </ul>	
◆ A floor diagram is available.	
◆ The Process Flow Diagram has been verified by the HACCP Team.	
◆ A simplified Process Flow Diagram is in the Plan.	
<ul style="list-style-type: none"> <li>• Flow diagram starts with receiving and ends with shipping.</li> </ul>	
<ul style="list-style-type: none"> <li>• All principal steps are included.</li> </ul>	
<ul style="list-style-type: none"> <li>• Each CCP is identified on the flow diagram.</li> </ul>	

REQUIREMENTS	RESULTS / COMMENTS
<b>SECTION 7. PROCESS HAZARD ANALYSIS</b>	This information must be completed for each step shown in the Process Flow Diagram. The Process Hazard Analysis will focus on Biological, Chemical and Physical hazards associated with the process. Quality issues should not be addressed in this analysis.
◆ A hazard analysis has been completed for each process step identified on the process flow diagram. (Principle 1)	
◆ All biological, chemical and physical hazards have been noted.	
◆ Hazards have been assessed using likelihood and severity.	
◆ Prerequisite and operational programs are identified to effectively control all identified hazards.	
◆ External resources or information used to supplement Team.	
◆ The process hazard analysis worksheet adequately determines CCPs (if applicable) (Principle 2).	
<ul style="list-style-type: none"> <li>• CCPs have been identified for each significant hazard that is not effectively controlled by a prerequisite program.</li> </ul>	
<ul style="list-style-type: none"> <li>• The correct CCPs and prerequisites to control hazards are identified.</li> </ul>	
<ul style="list-style-type: none"> <li>• External resources or information used to supplement Team.</li> </ul>	
<b>SECTION 8. MASTER PLAN</b>	The Master Plan is a single sheet for each product or group of products. It includes the plant information (name, location), product(s) name, distribution method, customer (general population, elderly, infants, immuno-compromized), and each of the seven HACCP principles (hazard analysis, CCPs, CLs, etc.).
◆ A HACCP Master Plan has been developed for each process or group of products.	
<b>Master Plan</b>	
◆ The Master Plan contains the following components:	
<ul style="list-style-type: none"> <li>• Critical Control Point(s).</li> </ul>	
<ul style="list-style-type: none"> <li>• Critical Hazards (Biological, Physical, and Chemical) addressed.</li> </ul>	
<ul style="list-style-type: none"> <li>• Critical Limit (Actual Measurable Value for each CCP) (Principle 3).</li> </ul>	
<ul style="list-style-type: none"> <li>○ Critical Limits have been verified by an outside source or information.</li> </ul>	
<ul style="list-style-type: none"> <li>○ Critical Limits were determined by outside source, experimentation, process capability or other rationale, i.e. subjective data or information.</li> </ul>	
<ul style="list-style-type: none"> <li>○ External resources are being used to supplement team knowledge.</li> </ul>	



REQUIREMENTS	RESULTS / COMMENTS
<ul style="list-style-type: none"> <li>● Monitoring requirements are established. (Principle 4)</li> </ul>	
<ul style="list-style-type: none"> <li>○ Monitoring procedures specify who, what, when, how and where.</li> </ul>	
<ul style="list-style-type: none"> <li>○ Frequency is sufficient to ensure control.</li> </ul>	
<ul style="list-style-type: none"> <li>○ Product lot identification is consistent with monitoring frequency.</li> </ul>	
<ul style="list-style-type: none"> <li>○ Monitoring records are signed.</li> </ul>	
<ul style="list-style-type: none"> <li>○ Monitoring records are verified on a timely basis.</li> </ul>	
<ul style="list-style-type: none"> <li>● Corrective Action in the event of a Critical Limit failure during Monitoring is described. (Principle 5)</li> </ul>	
<ul style="list-style-type: none"> <li>○ Corrective action developed for each CCP.</li> </ul>	
<ul style="list-style-type: none"> <li>○ Corrective actions ensure the process has been brought under control.</li> </ul>	
<ul style="list-style-type: none"> <li>○ Corrective actions ensure all suspect products has been held for reprocessing, alternative use or destruction.</li> </ul>	
<ul style="list-style-type: none"> <li>○ Responsibility and methods to hold and disposition product are clearly identified.</li> </ul>	
<ul style="list-style-type: none"> <li>○ Corrective actions include measures taken to prevent reoccurrence.</li> </ul>	
<ul style="list-style-type: none"> <li>● Verification procedures (Principle 6) are implemented and include</li> </ul>	
<ul style="list-style-type: none"> <li>○ Designated reviewer and sign-off for CCP records.</li> </ul>	
<ul style="list-style-type: none"> <li>○ Review of audit/inspection results and corrective action effectiveness.</li> </ul>	
<ul style="list-style-type: none"> <li>○ Calibration schedule for CCP devices where applicable.</li> </ul>	
<ul style="list-style-type: none"> <li>○ Calibration record for certified devices if applicable.</li> </ul>	
<ul style="list-style-type: none"> <li>○ Scheduled analytical testing to verify CCP effectiveness if applicable</li> </ul>	
<p><b>SECTION 9. CRITICAL CONTROL POINT RECORD REVIEW</b></p>	<p>Three months of HACCP records must be available and reviewed for the critical Limit, Deviation, etc.</p>
<ul style="list-style-type: none"> <li>◆ Critical Control Point records are available</li> </ul>	
<ul style="list-style-type: none"> <li>● Data collected according to schedule</li> </ul>	
<ul style="list-style-type: none"> <li>● Critical limits are met</li> </ul>	
<ul style="list-style-type: none"> <li>● Deviation Report available for missed schedule</li> </ul>	
<ul style="list-style-type: none"> <li>● Deviation Report available for wrong Critical Limit value</li> </ul>	
<ul style="list-style-type: none"> <li>● Record available for held product</li> </ul>	
<ul style="list-style-type: none"> <li>● Record available for product disposition</li> </ul>	



REQUIREMENTS	RESULTS / COMMENTS
<b>SECTION 10. DEVIATION REPORT</b>	This may be a document developed by the company or one issued by a regulatory agency. It must include the product, date, lot number, description of the unusual occurrence, CL(s) exceeded, corrective action, any action to prevent reoccurrence, recommended HACCP Plan modification (if necessary), signature of individual who completed the form, date, and signature of HACCP Coordinator and date. It is recommended the plant include a blank copy of their Deviation Report in their HACCP Plan.
<ul style="list-style-type: none"> <li>◆ The manual contains a blank copy of the Deviation Record used by the facility.</li> </ul>	
<ul style="list-style-type: none"> <li>◆ Records clearly show the amount of held product and final disposition.</li> </ul>	
<ul style="list-style-type: none"> <li>◆ Maintain separate CCP deviation file to facilitate internal and external review.</li> </ul>	
<b>Section 11. VALIDATION ACTIVITIES</b>	The HACCP Plan must be Revalidated annually and as significant changes affecting food safety occurs. This activity must be documented. Validation must include, thought not limited to: Review of all food safety complaints, regulatory activities for the type(s) of products covered by the HACCP Plan, new raw material or primary contact packaging introduced, new equipment introduced, all Prerequisite Programs identified as control for the HACCP Plan, and any unexplained failures in the HACCP Plan during the previous year.
<ul style="list-style-type: none"> <li>◆ Validation/Reassessment Procedures (Principle 6) are implemented and include:</li> </ul>	
<ul style="list-style-type: none"> <li> <ul style="list-style-type: none"> <li>• Requires initial and ongoing effectiveness reviews for HACCP and prerequisite programs to make any necessary improvements.</li> </ul> </li> </ul>	
<ul style="list-style-type: none"> <li> <ul style="list-style-type: none"> <li>• The scientific basis for critical limits is validated initially and annually thereafter.</li> </ul> </li> </ul>	
<ul style="list-style-type: none"> <li> <ul style="list-style-type: none"> <li>• Real time reviews due to significant change of product, process, raw materials, equipment, new hazards, and new product use or market place failure.</li> </ul> </li> </ul>	
<ul style="list-style-type: none"> <li> <ul style="list-style-type: none"> <li>• Defined inputs to review prerequisite programs, raw material/process hazard analysis, food safety complaints, regulatory updates/changes and any other plant food safety performance data are used to evaluate effectiveness.</li> </ul> </li> </ul>	
<ul style="list-style-type: none"> <li> <ul style="list-style-type: none"> <li>• Validation results are reviewed by the HACCP Team to report on and improve the HACCP Plan and prerequisite programs (documented).</li> </ul> </li> </ul>	
<ul style="list-style-type: none"> <li> <ul style="list-style-type: none"> <li>• Corrective action taken is effective and no repetitive HACCP Plan or prerequisite program failure is observed.</li> </ul> </li> </ul>	

REQUIREMENTS	RESULTS / COMMENTS
<b>SECTION 12. ESTABLISH RECORD KEEPING AND DOCUMENTATION PROCEDURES (PRINCIPLE 7)</b>	The HACCP plan and records for the HACCP system are contained in four categories: 1. Support documentation for developing the HACCP plan. 2. Records generated by the HACCP system. 3. Documented methods and procedures. 4. Employee training records. This documentation must be kept up to date and provide evidence of an effective program.
<ul style="list-style-type: none"> <li>◆ HACCP Plan record keeping and documentation procedures include but are not limited to the following:</li> </ul>	
<ul style="list-style-type: none"> <li>• HACCP Team list and individual responsibilities.</li> </ul>	
<ul style="list-style-type: none"> <li>• Description of food, distribution, intended use and consumer</li> </ul>	
<ul style="list-style-type: none"> <li>• Flow diagram</li> </ul>	
<ul style="list-style-type: none"> <li>• Summary of Hazard Analysis and rationale for hazard determination and control measures</li> </ul>	
<ul style="list-style-type: none"> <li>• HACCP Plan summary containing the following:</li> </ul>	
<ul style="list-style-type: none"> <li>○ CCP process step identified</li> </ul>	
<ul style="list-style-type: none"> <li>○ Hazards to be controlled</li> </ul>	
<ul style="list-style-type: none"> <li>○ Critical Limit</li> </ul>	
<ul style="list-style-type: none"> <li>○ Monitoring requirements</li> </ul>	
<ul style="list-style-type: none"> <li>○ Deviation and corrective action records</li> </ul>	
<ul style="list-style-type: none"> <li>○ Verification procedures, records and schedule</li> </ul>	
<ul style="list-style-type: none"> <li>• Record of HACCP Plan changes</li> </ul>	
<ul style="list-style-type: none"> <li>○ Change log current and dated</li> </ul>	
<ul style="list-style-type: none"> <li>• Prerequisite program records</li> </ul>	
<ul style="list-style-type: none"> <li>• General and HACCP Team training records</li> </ul>	
<ul style="list-style-type: none"> <li>• Record retention defined.</li> </ul>	
<ul style="list-style-type: none"> <li>• Computer records have appropriate controls.</li> </ul>	

## APPENDIX IV

### Hazard Analysis Worksheet

Company Name: _____ Company Address: _____ _____ Intended Use and Consumer: _____	Product Description: _____ Method of Storage and Distribution: _____
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Ingredient or Processing Step	Hazard (Identify potential hazards introduced, controlled or enhanced at this step.)	Are any of the potential food safety hazards significant? (Yes/No)	HACCP Team Notes (justify your decision in column 3)	Is this hazard controlled by your GMPs or Prerequisite Programs (if Yes - which programs). If no - complete the following columns.	Q1. Could the operator of any process step use a control measure?	Q2. Is it likely that contamination with the identified hazard could occur in excess of the acceptable level or could increase to an unacceptable level?	Q3. Is this process step specifically designed to eliminate or reduce this hazard to an acceptable level?	Q4. Will a subsequent step eliminate or reduce this hazard to an acceptable level?	If the response to Q4 is no or to Q3 is yes, this process step is a Critical Control Point (CCP). Assign the CCP a number.  CCP #
	Biological								
	Chemical								
	Physical								
	Biological								
	Chemical								
	Physical								
	Biological								
	Chemical								
	Physical								





## APPENDIX VI

### **Notice of Unusual Occurrence and Corrective Action (NUOCA)**

This NUOCA contains trade secret/business confidential information and is exempt from disclosure pursuant to applicable law.

Date: \_\_\_\_\_ Product: \_\_\_\_\_  
Supplier: \_\_\_\_\_ Product Lot: \_\_\_\_\_  
Identifier: \_\_\_\_\_

#### **DESCRIPTION OF UNUSUAL OCCURRENCE:**

#### **DESCRIPTION OF CRITICAL LIMITS EXCEEDED (if any):** (Identify by CCP Number)

#### **PRE-DETERMINED CORRECTIVE ACTION PURSUANT TO HACCP PROGRAM:**

Product Segregation and Hold  
Reconditioning (Describe in next section)  
Product to be destroyed (Describe action taken in next section)  
Further analysis conducted on the product (Describe in next section)  
Other (Describe in detail in next section)

#### **ACTION TAKEN UPON FURTHER ANALYSIS OF THE HAZARD PURSUANT TO THE CORRECTIVE ACTION IDENTIFIED IN THE MASTER HACCP PLAN:** (Describe in detail)

#### **RECOMMENDED ACTION FOR REEVALUATION OR MODIFICATION OF HACCP PROGRAM TO PREVENT REOCCURRENCE OF THIS PROBLEM:** (Describe in detail).

Created by: \_\_\_\_\_ Date: \_\_\_\_\_

Reviewed and approved by: \_\_\_\_\_ Date: \_\_\_\_\_  
(Signature of HACCP Coordinator)



## **APPENDIX VII**

### **Recommended HACCP Accreditation Audit Agenda**

AIBI and GFTC suggest to the Accreditation Team and Lead Auditors that the following agenda be used to ensure adequate coverage of all information:

- i) Opening meeting with management and full HACCP Team.
- ii) Brief plant tour to familiarize the Audit Team with the facility.
- iii) Detail review of the HACCP Plan with the HACCP Team to verify the HACCP Plan is consistent with the plant information and Codex requirements.
- iv) A detailed plant audit of the Plan, including on-site interviews with CCP operators. HACCP records for all CCPs must be reviewed. Auditors will select approximately 100 records from representative dates to verify accuracy of information and data.
- v) The Accreditation Team will review the Prerequisite Programs and other HACCP plans together or singularly as determined by the Accreditation Team.
- vi) Each day should include a closing wrap up meeting of findings and expectations for the following day, including final meeting.
- vii) A closing meeting will be held with management and HACCP Team. The plant will receive their final evaluation at this meeting.

#### **Note:**

1. Detailed Process Flow Diagrams and Hazard Analysis must be available to the Audit Team. HACCP Teams must document how they arrive at CCPs. This documentation must be available to the Audit Team and must be made available to Audit Team members if so requested by either Auditor.
2. The audit checklist for Prerequisite Programs and HACCP plans, as issued in this Requirements manual, will be used to guide the audit and help ensure all elements have been addressed.
3. AIBI Food Safety audit or GFTC GMP audit requirements may be reviewed at this audit.
4. Following is a list of all records that the Accreditation Team may require for the audit. The plant should have all applicable records available for review in the event they are required.

Hard copies of most recent version of HACCP Manual for each auditor  
CCP monitoring and verification records (3 months)  
CCP deviation reports (3 months)  
Copy of most recent GMP audit report  
Master Cleaning Schedule (1 year) Daily Cleaning Schedule  
Cleaning procedures

Records of post-maintenance cleaning (3 months)  
Validation of cleaning procedures  
Self-audits (1 year)  
Metal-detector, reject records (3 months)  
Sifter tailing findings (3 months)  
Air quality testing  
Glass policy  
Design and construction standards  
Water quality records (1 year)  
Backflow preventor testing  
Records of equipment calibration (1 year)  
Preventive Maintenance  
Employee training: Hygiene, blood-borne pathogen, GMP, HACCP, personal safety  
Uniform / GMP policies  
Customer Complaint Procedure  
Food safety customer complaints (1 year)  
Recall / Traceability Plan  
Mock recalls (1 year)  
Chemical Control Program  
Chemical control log  
Material Safety Data Sheets  
Pest Control Program  
Approved pesticide list  
Pesticide application records (1 year)  
Sample labels for pesticides  
Pest control technician's license  
Schematic of pest control devices  
Records of pest control activities (1 year)  
Allergen Control Program  
Allergen control procedures for weigh area  
Production records for allergen changeovers (3 months)  
Allergen changeover cleaning and inspection records (3 months)  
Rework procedures  
Document control program

# CERTIFICATE OF ACCREDITATION



## EXAMPLE ONLY

is active in a continuing program of planning, implementing, documenting, improving and maintaining food safety programs. This company has subscribed to the

### **HACCP Accreditation Program**

offered by

AIB International and Guelph Food Technology Centre

