

Hazard Analysis Critical Control Point (HACCP) Standard

Prerequisite Programs Checklist

REQUIREMENTS	RESULTS / COMMENTS
1. SANITATION	
Plant has a documented Sanitation Program	
♦ Master Cleaning Schedule has been developed.	
• Facility (floors, walls, non-processing equipment, etc are included	
• All process lines are included	
• Processing utensils are included	
♦ Written cleaning procedures are developed for all plant areas and equipment	
• Food contact surfaces have been identified.	
• Chemicals, chemical concentration, detailed cleaning procedures, etc identified	
• Post-maintenance equipment cleaning required for food contact surfaces	
♦ Cleaning activities are documented	
• Appropriate procedures used to verify cleaning chemical concentration	
• Appropriate used to verify equipment rinse procedure following sanitation	
• Post sanitation/pre-start up inspections completed	
♦ Corrective action is documented	
♦ Plant has validated cleaning procedures	
2. GMP PROGRAMS	
Plant has a documented 3rd party inspections	
Plant has a documented Internal Inspection Program	
♦ Internal inspections required and completed as scheduled	
♦ Corrective action follow up required and documented	
Plant has a documented Internal Audit Program	
♦ Results completed and documented as scheduled	
♦ Corrective action follow up required and documented	
Plant has documented GMP Programs	
♦ Personnel Hygiene Program	
• Employee uniform policy	
• Employee glove policy	
• Cuts, open sores, illness, etc policy	
♦ Blood Borne Pathogen/Body Fluid Program	
• Clean up kit available	
♦ Metal Detector Reject Review Program	
♦ Sifter Tailing Review Program (if applicable)	
♦ Air Quality Program	
♦ Glass and Brittle Plastic Control Program	



Plant has a documented Buildings and Ground Program	
◆ Design and construction standards are established	
◆ Building exterior and grounds are properly maintained	
◆ Building interior, maintenance, design, construction, lighting, ventilation foot traffic, etc support food safety	
◆ Product flow is designed to reduce or eliminate the potential for cross contamination	
◆ Sanitary facilities (rest rooms and hand washing facilities) maintained for employees.	
Plant has a documented Water Quality Program	
◆ A water quality certificate is on file (city water) or annual checks completed (well).	
◆ Internal water analysis (TPC/coliform) completed per plant schedule (at least twice per year)	
◆ Ice is tested or a COA is available (if applicable) for TPC/Coliform	
◆ Back flow preventors in place	
• Location(s) identified (must be on the main water line)	
• Annual certification completed on main water line	
◆ Hoses have check valve at inlet.	
• Check valves are dated and replaced on pre-scheduled basis	
Plant has a documented Transportation and Storage Program	
◆ Food carriers and distribution vehicles are inspected prior to unloading/loading	
• Truck, load and driver identification are checked and documented	
• Bulk tank number recorded	
• Bulk tank wash tickets inspected	
• Wash ticket for current load or within approved schedule	
• Bulk seals verified against supplier record	
◆ Appropriate facilities for raw material and finished product storage are provided	
• Date of receipt recorded	
• Lot number recorded	
◆ Temperature controls are appropriate and monitored.	
Plant has a documented Equipment Maintenance Program	
◆ Design standards established	
• Equipment is designed for the process.	
◆ Equipment calibration procedures established and documented	



◆ Equipment maintenance procedures established and documented	
• Preventative	
• Emergency	
Plant has a documented Training Programs	
◆ GMP	
◆ Personnel Hygiene	
◆ Sanitation	
◆ Personal Safety	
◆ HACCP	
• General training for all employees	
• Specific training for personnel at CCP's	
◆ All training activities documented	
3. FOOD SAFETY CUSTOMER COMPLAINTS	
Plant has a documented Customer/Consumer Complaint Program.	
◆ Food safety complaints available at the plant	
◆ Food Safety complaints separated from all other complaints	
◆ Annual documented evaluation of food safety complaints by HACCP Team	
◆ All food safety complaints investigated	
• Corrective action procedure in-place	
• Corrective action has been documented.	
4. TRACEABILITY AND RECALL	
Plant has a documented Traceability Program	
◆ Name of records required for tracing product identified	
◆ Location of trace records identified	
◆ Lot identification procedures are included	
◆ Traceability exercises conducted at least twice annually	
• Traceability exercise results 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)	
○ Customer data confirms plant data	
Plant has a documented Recall Program	
◆ 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	



<ul style="list-style-type: none"> • Method to identify and locate products (Traceability Program) identified 	
<ul style="list-style-type: none"> • Recall exercises performed at least annually 	
<ul style="list-style-type: none"> • Recall exercise results are documented. 	
<ul style="list-style-type: none"> • Recall exercise time (from initial call to first team member to exercise completion) documented 	
<ul style="list-style-type: none"> ◆ Post Recall exercise evaluation completed and documented. 	
<ul style="list-style-type: none"> • Follow up to issues identified and addressed 	
5. CHEMICAL CONTROL PROGRAM	
Plant has a documented Chemical Control Program	
<ul style="list-style-type: none"> ◆ Chemical approval process identified 	
<ul style="list-style-type: none"> ◆ A Chemical Log is available. <ul style="list-style-type: none"> • All chemicals are identified • Sanitation chemical quantities agree with the Chemical Log. 	
<ul style="list-style-type: none"> ◆ Chemical storage maintains control of chemicals 	
<ul style="list-style-type: none"> ◆ Chemical storage allows for separation of chemical types <ul style="list-style-type: none"> • Sanitation • Pest Control • Maintenance • Boiler <ul style="list-style-type: none"> ○ Approved for incidental food contact if steam comes in direct contact with food 	
<ul style="list-style-type: none"> • Laboratory 	
<ul style="list-style-type: none"> ◆ MSDS forms available for all chemicals 	
<ul style="list-style-type: none"> ◆ Contractor chemical approval procedure available <ul style="list-style-type: none"> • Approval procedure identified • MSDS forms available 	
6. PEST CONTROL PROGRAM	
Plant has a documented Pest Control Program	
<ul style="list-style-type: none"> ◆ Individual responsible (plant personnel) is identified 	
<ul style="list-style-type: none"> ◆ There is a certified PCO on staff (if applicable) 	
External Service	
<ul style="list-style-type: none"> ◆ An outside pest control service is used (Name) <ul style="list-style-type: none"> • Company's license is available and current <ul style="list-style-type: none"> ○ License is for working in food plants • Insurance is available and current. • Applicator's license available and current <ul style="list-style-type: none"> ○ License is for working in food plants 	
Internal or External	
<ul style="list-style-type: none"> ◆ Record of pest control chemicals <ul style="list-style-type: none"> • All pest control chemicals identified • Pest control chemicals used according to label directions • MSDS sheets are available • Pest chemical labels available 	



<ul style="list-style-type: none"> • Pest control chemicals stored in accordance with state and federal regulations (if applicable) 	
<ul style="list-style-type: none"> ◆ Inspection or service reports are available 	
<ul style="list-style-type: none"> • All pest activity is noted 	
<ul style="list-style-type: none"> ◆ Pest control device information is on file 	
<ul style="list-style-type: none"> • Map of all pest control devices is available 	
<ul style="list-style-type: none"> • All rodent bait stations are located outside the facility 	
<ul style="list-style-type: none"> ○ Type of bait (liquid, granular, block) identified 	
<ul style="list-style-type: none"> • Pheromone trap information noted 	
<ul style="list-style-type: none"> ○ Pheromone traps are dated and current 	
<ul style="list-style-type: none"> • Insect light traps noted 	
<ul style="list-style-type: none"> ○ Light bulbs are dated and current 	
<ul style="list-style-type: none"> ◆ Corrective action taken in regards to pest activities has been noted and recorded 	
7. ALLERGEN CONTROL PROGRAM	
Plant has a documented Allergen Control Program	
<ul style="list-style-type: none"> ◆ Recognized allergens listed 	
<ul style="list-style-type: none"> ◆ All allergen containing raw materials identified 	
<ul style="list-style-type: none"> ◆ Warehouse has designated allergen storage area 	
<ul style="list-style-type: none"> • Allergens are clearly identified. 	
<ul style="list-style-type: none"> • Like allergens stored like above like 	
<ul style="list-style-type: none"> ◆ All allergen containing formula identified 	
<ul style="list-style-type: none"> ◆ Weigh area control procedures identified and implemented 	
<ul style="list-style-type: none"> • Allergen containers have individual scoops or measuring devices 	
<ul style="list-style-type: none"> ◆ All critical process/plant areas and equipment identified 	
<ul style="list-style-type: none"> ◆ Cleaning procedures between allergen runs identified 	
<ul style="list-style-type: none"> • Allergen cleaning activities documented 	
<ul style="list-style-type: none"> ◆ Rework control implemented. 	
<ul style="list-style-type: none"> • “Like into Like” procedure used 	
<ul style="list-style-type: none"> • Rework usage documented 	
<ul style="list-style-type: none"> ◆ Package labels for allergen containing products have appropriate allergens in their ingredient statement. 	



Hazard Analysis Critical Control Point (HACCP) Standard

HACCP Manual & HACCP Plan Checklist

REQUIREMENTS	RESULTS / COMMENTS
SECTION 1: PLANT INFORMATION	<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	
SECTION 2: HACCP TEAM	<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.	
SECTION 3: PREREQUISITE PROGRAMS	<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	
◆ Any other Prerequisite Program or Process Control identified in the Process Hazard Analysis	
SECTION 4: INGREDIENT HAZARD ANALYSIS	<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.	
◆ All biological, chemical and physical hazards have been noted.	
◆ Hazards have been assessed for significance.	
◆ Control measures have been developed and implemented to control all hazards.	
◆ External resources used to supplement Team	



SECTION 5: PRODUCT DESCRIPTION	<i>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.</i>
Finished Product or Process	
◆ 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	
◆ Food safety control activities identified for each possible food safety issue.	
◆ Product Description is signed and dated by the senior management representative.	
SECTION 6: FLOW DIAGRAM	<i>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.</i>
◆ A detailed Process Flow has been developed.	
• All operations are included.	
• Process Flow Diagram starts with Receiving and ends with Distribution / Shipping.	
• All process steps are identified.	
• Each CCP is identified on the flow diagram	
◆ 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	
• Each CCP is identified on the flow diagram	
SECTION 7: PROCESS HAZARD ANALYSIS	<i>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.</i>
◆ 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 for significance.	
◆ Control measures have been developed and implemented to control all hazards.	
◆ External resources used to supplement Team	



<ul style="list-style-type: none"> ◆ The process hazard analysis worksheet adequately determines CCPs (if applicable) (Principle 2) 	
<ul style="list-style-type: none"> • CCPs have been identified for each significant hazard that is not controlled by a pre-requisite program. 	
<ul style="list-style-type: none"> • These are the correct CCPs to control hazards. 	
<ul style="list-style-type: none"> • External resources used to supplement Team 	
SECTION 8: MASTER PLAN	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), and each of the seven HACCP principles (hazard analysis, CCPs, CLs, etc.).
<ul style="list-style-type: none"> ◆ A HACCP Master Plan has been developed for each product, process or group of products. 	
Master Plan	
<ul style="list-style-type: none"> ◆ A Master Plan has been developed for each Critical Control Point. 	
<ul style="list-style-type: none"> • Critical Control Point(s) are indicated. 	
<ul style="list-style-type: none"> • Critical Hazards (Biological, Physical, and Chemical) are identified. 	
<ul style="list-style-type: none"> • Critical Limit (Actual Measurable Value) is established for each CCP. (Principle 3) 	
<ul style="list-style-type: none"> ◆ The critical limits have been verified by an outside source. 	
<ul style="list-style-type: none"> ○ Critical limits were determined by an outside source. 	
<ul style="list-style-type: none"> ○ Critical limits were determined by experimentation. 	
<ul style="list-style-type: none"> ○ External resources are being used to supplement team knowledge. 	
<ul style="list-style-type: none"> ◆ Monitoring requirements are established. (Principle 4) 	
<ul style="list-style-type: none"> • Monitoring procedures specify who, what, when, how and where. 	
<ul style="list-style-type: none"> • Frequency is sufficient to ensure control. 	
<ul style="list-style-type: none"> • Product lot identification is consistent with monitoring frequency. 	
<ul style="list-style-type: none"> • Monitoring records are signed. 	
<ul style="list-style-type: none"> • Monitoring records are verified on a timely basis. 	
<ul style="list-style-type: none"> ◆ Corrective Action in the event of a Critical Limit failure during Monitoring is described. (Principle 5) 	
<ul style="list-style-type: none"> • Corrective actions developed for each CCP. 	
<ul style="list-style-type: none"> • Corrective actions ensure process has been brought under control. 	
<ul style="list-style-type: none"> • Corrective actions ensure all suspect product has been identified and captured. 	
<ul style="list-style-type: none"> • Corrective actions include procedures to prevent recurrence. 	
<ul style="list-style-type: none"> ◆ Verification procedures are described and implemented. (Principle 6) 	



<ul style="list-style-type: none"> • Verification procedures have been implemented to demonstrate effectiveness of HACCP Plan. 	
<ul style="list-style-type: none"> • Reference device(s) accreditation(s). 	
<ul style="list-style-type: none"> ◆ Records are available for all CCP's. (Principle 7) 	
<ul style="list-style-type: none"> • All CCP critical limits have been met. 	
<ul style="list-style-type: none"> • Corrective action records are available for all deviations. 	
<ul style="list-style-type: none"> • Records are available for all verification activities. 	
<ul style="list-style-type: none"> • Record of "trained individual" training is available. 	
<ul style="list-style-type: none"> • Records of employee training are available. 	
<ul style="list-style-type: none"> ◆ There is a document control program. 	
<ul style="list-style-type: none"> • All changes are recorded. 	
<ul style="list-style-type: none"> • All changes are dated. 	
<p>Section 9: Deviation Report</p>	<p><i>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.</i></p>
<ul style="list-style-type: none"> ◆ The manual contains a blank copy of the Deviation Record used by the facility. 	
<ul style="list-style-type: none"> ◆ Validation Procedures are described and implemented. 	
<ul style="list-style-type: none"> • There is a program in place to verify HACCP Plan. 	
<ul style="list-style-type: none"> • The HACCP Plan has been updated. 	
<ul style="list-style-type: none"> • The HACCP Plan update has been documented. 	
<ul style="list-style-type: none"> • The scientific basis for HACCP Plan is validated annually. 	
<ul style="list-style-type: none"> • The scientific basis for HACCP Plan was validated initially. 	

