HACCP Certification

COMPASS
-ASSURANCE SERVICES-

SELF ASSESSMENT CHECKLIST

1.0 PURPOSE AND SCOPE

1.1 HACCP purpose and scope

Has the following been defined?

a) HACCP Plan scope

b) Purpose of the HACCP Plan

3.0 GENERAL REQUIREMENTS

3.1 HACCP requirements

Are there adequate instructions developed?
These may take the form of:

a) Management plans

b) HACCP plans
c) Standards or procedures

4.0 MANAGEMENT SYSTEMS

4.1 Food Safety Responsibilities

Is there a current organisational chart and position descriptions for all those activities that impact on Food Safety?

Have responsibilities and authorities been communicated?

4.2 System Review

Are system procedures such as HACCP plans reviewed and updated on a regular basis and are documents controlled effectively? What is the frequency of reviews?

4.2.1 Consistency to Standard

Is the HACCP plan consistent with CODEX Alimentarius Principles and Application? (Compass Assurance Services HACCP – Food Safety CAS:2020)

4.2.2 Flow Diagram

Are there documented process flow diagrams for relevant processes and within these are Critical Control Points / Quality Control Points (CCP's / QCP's) identified as appropriate?

4.2.3 Support Programs

Are Support programs documented?

4.3 Product description and Intended use.

Has the product description been documented? Has the intended use been identified?

4.4 Food Safety Awareness

Are processes in place to ensure the organisation is kept informed of food safety issues such as:
Food regulations
Legislative, scientific, and technical developments relevant to the organisation?

4.5 Product label

Has the finished product label been completed using up to date information?
Can label claims be justified?

5.0 HAZARD ANALYSIS AND CRITICAL CONTROL POINTS (HACCP)

5.1 Hazard Analysis

Has a Hazard Analysis been undertaken for each process step identified in the flow diagram (4.2.2) which considers food safety and quality and any potential contamination from:

a) Chemical
b) Physical
c) Or biological sources

5.1.1 Hazard significance and likelihood

Has the significance of hazards been identified including likelihood?

5.2 Critical Control Points

Have all Critical Control Points (CCP's) been identified and recorded? Note not all systems have critical control points.

5.3 Critical Limits

Have critical limit(s) been developed for all CCPs? Are they measurable?

5.4 Monitoring

Are there monitoring procedures in place for any identified CCPs?

5.4.1 Records

Are records kept of the monitoring activity related to CCP's?

5.4.2 CCP Monitoring requirements

Do monitoring procedures specify
a) What
b) When
c) How
d) Where
e) And who undertakes the monitoring?

5.4.3 CCP Calibration

Have all instruments used for monitoring CCPs been calibrated?
Are records of calibration maintained

5.5 CCP Corrective Actions

Are there documented corrective actions for each CCP?

5.5.1 CCP corrective action records

Does the organisation maintain records of corrective actions undertaken?

5.6 Verification

Has the organisation developed a verification system for its HACCP plan? This could take the form of internal audits or sampling and analysis programs. Records of these activities are required.

5.6.1 Verification Effectiveness

Do verification activities demonstrate that the HACCP program is effective? This may include product microbiological analysis and shelf life testing.

5.7 Records

Is there a system in place to retain relevant documentation regarding food safety within the organisation?

6.0 TRAINING

6.1 Training needs

Is there evidence that persons undertaking and or supervising food handling operations have knowledge and skills in food safety and food hygiene?

Where applicable, is there a system in place that identifies training needs for general staff and appropriate resources allocated to support the HACCP plan?

6.2 Training Records

Are training records available?

7.0 CONDITIONS NECESSARY TO MAINTAIN A HYGIENIC ENVIRONMENT

7.1 Food Safe Environment

Is there a procedure for managing the work environment, rework, and waste?

7.1.1 Environmental, Water and Ice Monitoring

Is the environment suitable for the activities conducted, including the water supply?

7.1.2 Stock Rotation

Is there a stock rotation procedure in place – First in First Out (FIFO)

7.2 Hygiene policy

Is there a documented staff hygiene policy / procedure which covers the following?
Staff hygiene, including

- hand washing
- Food consumption in product handling area, smoking restrictions
- Health of food handlers (food borne disease reporting)
- PPE requirements
- Jewellery Policy

7.3 Foreign object Control

Is there a procedure that controls or eliminates the likelihood of contamination with foreign objects including wood and or glass within the organisation?

7.4 Allergen Management

Have allergen hazards and controls been considered in the Hazard Risk Assessment or Food Safety Program?

7.4.1 Allergen Claims

Have periodic tests been conducted to verify allergen claims.

7.5 Cleaning Program

Is there a cleaning program that identifies and includes?

a) Areas that require cleaning, equipment, between batch cleaning, frequency, chemicals used and person responsible.
b) Information documented for methods if cleaning and if the cleaning is effective? Are Safety Data Sheets (SDS) available for cleaning chemicals?
c) Is there a cleaning schedule and are records maintained?

7.6 Pest Management

Has the organisation developed and implemented a Pest Management System? Does the program include chemicals used, Insect, Bait Map, and in-house controls (Strip curtains, air pressure)?

7.6.1 Pest Management records

Are records maintained for SDS's and appropriate qualifications for service providers and reports of pest control services, including pest activities and recommendations?

7.7 Equipment and Maintenance

Is building infrastructure, fixtures and fittings fit for purpose?
Is equipment used for manufacture verified for its accuracy when necessary?

8.0 INPUTS

8.1 Raw materials

Is there a documented risk assessment for raw materials (including primary packaging)?

8.2 Purchased Materials

Has the organisation developed a system to inspect and verify purchased materials ensuring they meet specified requirements? This may include:
a) physical inspection
b) Receiving Certificates of Analysis (COA) etc.

8.3 Supplier approval

Is there a method for approving suppliers? Have the criteria for selection and evaluation of suppliers been established? Are changes to finished product labels and allergen declarations considered?

8.3.1 Supplier Review

Are suppliers reviewed on an ongoing basis and are records kept?

9.0 PRODUCT IDENTIFICATION AND TRACEABILITY

9.1 Product identification

Is there a procedure detailing how products are identified and traced at all stages of the process?

9.2 Product recall

Are there recall procedures appropriate to the organisation's activities?

10.0 CORRECTIVE ACTIONS

10.1 Supplier and internal issues

Is there a procedure detailing how nonconformity is dealt with? This could include supplier issues, product nonconformance, operational faults, system failure?

10.2 Customer and consumer complaints

Is there a procedure to investigate customer and consumer complaints?