



**HACCP**

# **Hazard Analysis & Critical Control Points**



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## **Self Assessment Checklist**



# Purpose & Scope

## HACCP Scope

Has a HACCP scope been defined?

## HACCP Purpose

Has the purpose of the HACCP plan been defined?

# General Requirements

## HACCP Requirements

Are there adequate instructions developed? Such as:

- Management Plans
- HACCP plans
- Standards or procedures





# Management Systems

## 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?
- Have responsibilities and authorities been communicated?

## 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?

## Consistency to Standard

- Is the HACCP plan consistent with CODEX Alimentarius Principles and Application (Compass Assurance Services HACCP – Food Safety CAS:2015)

## 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?

## Food Safety Awareness

- Are there procedures in place to keep the organization informed of relevant food safety issues including regulations, legislation, and scientific/technical developments?

## 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.

## Support Programs

- Are Support programs documented?



## Product Description & Intended Use

- Has the organisation developed a verification system for its HACCP plan? This could take the form of Internal Audits or sampling and analysis programs.

## 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?

## Product Label

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





# Hazard Analysis & Critical Control Points

## 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:
- Chemical
  - Biological sources
  - Physical

## Hazard Significance & Likelihood

- Has the significance of hazards been identified including likelihood?

## Critical Control Points

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

## Customer Complaints

- Is there a customer complaints management system, and has a verification system been developed for the HACCP plan to demonstrate its effectiveness?

## Critical Limits

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

## Monitoring

- Are there monitoring procedures in place for any identified CCPs?
- Are records kept of the monitoring activity related to CCP's



## CCP Monitoring Requirements



Do monitoring procedures specify:

- What
- When
- How
- Where
- And who undertakes the monitoring?

## Calibrating



Have all instruments used for monitoring CCPs been calibrated?



Are records of calibration maintained?

## Corrective Actions



Are there documented corrective actions for each CCP?



Does the organisation maintain records of corrective actions undertaken?

## 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.



Are records maintained?



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

## Records



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



# Training Needs

## 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?

# Conditions Necessary to Maintain a Hygienic Environment

## Food Safe Environment

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

## Environmental, Water and Ice Monitoring

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

## Stock Rotation

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

## Hygiene Policy

- Is there a documented staff hygiene policy / procedure which covers the following:
  - Staff hygiene, including
  - Jewellery Policy
  - hand washing
  - Food consumption in product handling area, smoking restrictions
  - Health of food handlers (food borne disease reporting)
  - PPE requirements



## 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?

## Allergen Management



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



Have periodic tests been conducted to verify allergen claims.

## Equipment Maintenance



Is there a cleaning program that identifies and includes:

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

## 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)?



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





# Inputs

## Raw Materials

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

## Purchase Materials

- Has the organisation developed a system to inspect and verify purchased materials ensuring they meet specified requirements? Such as:
  - Physical Inspection
  - Receiving Certificates of Analysis (COA) etc

## 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?

## Supplier Review

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





# Product Identification & Traceability

## Product Identification

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

## Product Recall

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

# Corrective Actions

## Supplier & Internal Issues

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

## Customer and Consumer Complaints

- Is there a procedure to investigate customer and consumer complaints?



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