

HAZARD ANALYSIS AND CRITICAL CONTROL POINT (HACCP) VERIFICATION SURVEY

The questions on HACCP listed below are to be evaluated based on the facility's HACCP plan. For a facility to pass this survey, all questions must have a "YES" response. Any "NO" response results in a "Critical" rating.			YES	NO	RATING: If "No" rate as Critical.
1.		Does management have a written HACCP plan?			
	1a.	Is the HACCP plan implemented?			
	1b.	Is there evidence of management commitment and are the appropriate personnel aware of their responsibilities for the implementation and maintenance of the company's HACCP plan?			
2.		Does the HACCP plan have a written hazard analysis which lists and evaluates the hazards associated with the commodity and process under consideration by this survey?			
3.		Does the HACCP plan address the application of one or more critical control point(s) (CCP) which is/are essential to prevent, eliminate, or reduce each identified potential food safety hazard?			
4.		Does the HACCP plan address the establishment of critical limits within which CCP(s) must be controlled to prevent, eliminate, or reduce each identified potential food safety hazard?			
5.		Does the HACCP plan address the application of monitoring procedures to assess whether CCP(s) is/are under control to prevent, eliminate, or reduce each identified potential food safety hazard?			
	5a.	Are monitoring procedures followed?			
6.		Does the HACCP plan address the establishment of corrective action(s)?			
	6a.	Are corrective actions taken when there is a deviation from established critical limits?			
7.		Does the HACCP plan address the application of verification procedures to confirm that the systems are operating according to the plan?			
	7a.	Are verification procedures followed?			
8.		Does the HACCP plan address the establishment of record-keeping and documentation procedures for the HACCP plan?			
9.		Are applicable "Good Manufacturing Practices" (GMP) and prerequisite programs addressed by management?			
	9a.	Are documented Standard Sanitation Operating Procedures (SSOPs) addressed?			
	9b.	Are documented supplier control procedures addressed?			
	9c.	Are documented specifications for ingredients, products, and packaging materials addressed?			
	9d.	Are documented receiving, storage, and shipping procedures addressed?			
	9e.	Are documented pest control program and procedures addressed?			
	9f.	Are documented traceability and recall procedures addressed?			
	9g.	Are documented chemical control procedures addressed?			
	9h.	Are documented personal hygiene procedures addressed?			
	9i.	Are documented employee training program for GMPs, HACCP, and sanitation addressed?			

Compliance Guidelines for Hazard Analysis and Critical Control Point (HACCP) Verification Survey

NOTE – Apply compliance guidelines to determine appropriate response to the questions.

Reference Number	Questions	Compliance Guidelines
1.	Does management have a written HACCP plan?	Review HACCP plan documentation which should, at least, include the following: <ul style="list-style-type: none"> ▪ Organizational chart with assigned responsibilities; ▪ Summary of hazard analysis; ▪ Description of product, its distribution, intended use, etc.; ▪ Product flow diagram; ▪ HACCP plan which identifies hazard(s), and describes the critical control points, critical limits, monitoring procedures, corrective actions, verification procedures, record-keeping and documentation procedures; ▪ HACCP plan summary table; ▪ Support documentation such as validation records; and ▪ Records generated by implementation of the HACCP plan.
1a.	Has the HACCP plan been implemented?	Implementation involves the continual application of the monitoring, record-keeping, corrective action, verification procedures, and other activities described in the HACCP plan. Observe plant activity and review records for evidence of this.
1b.	Is there evidence of management commitment and are the appropriate personnel aware of their responsibilities for the implementation and maintenance of the company's HACCP plan?	HACCP plan implementation is facilitated by commitment from top management. This commitment provides facility personnel with a sense of the importance of producing safe product. Observe plant activity and review records for evidence of this. Interviewing certain plant personnel may be necessary.
2.	Does the HACCP plan have a written hazard analysis which lists and evaluates the hazards associated with the commodity and process under consideration by this survey?	Review the written hazard analysis to determine if it addresses the product and process designated for consideration by this survey.
3.	Does the HACCP plan address the application of one or more critical control point(s) (CCP) which is/are essential to prevent, eliminate, or reduce each identified potential food safety hazard?	Review written HACCP plan to determine if CCPs are identified.
4.	Does the HACCP plan address the application of critical limits which must be controlled at a CCP(s) to prevent, eliminate, or reduce each potential food safety hazard?	Review written HACCP plan to determine if critical limits are established.
5.	Does the HACCP plan address the application of monitoring procedures to assess whether CCP(s) is/are under control to prevent, eliminate, or reduce each potential food safety hazard?	Review written HACCP plan to determine if monitoring procedures for each CCP are identified and described.

5a.	Are monitoring procedures followed?	Review written HACCP plan and the appropriate records to determine if monitoring procedures are followed. Also observe plant activity for evidence of this.
6.	Does the HACCP plan address the establishment of corrective actions?	Review written HACCP plan to determine if corrective actions are established and described.
6a.	Are corrective actions taken when there is a deviation from established critical limits?	Review written HACCP plan and the appropriate records to determine if corrective actions were taken as described in the plan. Also observe plant activity for evidence of this.
7.	Does the HACCP plan address the application of verification procedures to confirm that the systems are operating according to the plan?	Review written HACCP plan to determine if verification procedures are identified and described.
7a.	Are verification procedures followed?	Review written HACCP plan and the appropriate records to determine if verification procedures are followed.
8.	Does the HACCP plan address the establishment of record-keeping and documentation procedures for the HACCP plan?	Review written HACCP plan to determine if record-keeping and documentation procedures are identified and described.
9.	Are applicable "Good manufacturing Practices" (GMP) and prerequisite programs addressed by management?	Obtain information from management, review appropriate documents, and observe operations to assess whether the GMPs and prerequisite programs are addressed by management.
9a.	Are documented Standard Sanitation Operating Procedures (SSOPs) addressed?	Review written applicable HACCP plan and facility documentation to determine if SSOPs are identified and described.
9b.	Are documented Supplier Control Procedures (SCPs) addressed?	Review written applicable HACCP plan and facility documentation to determine if SCPs are identified and described.
9c.	Are documented specifications for ingredients, products, and packaging materials addressed?	Review written applicable HACCP plan and facility documentation to determine if applicable specifications for ingredients, products, and packaging materials are identified and described.
9d.	Are documented receiving, storage, and shipping procedures addressed?	Review written applicable HACCP plan and facility documentation to determine if procedures are identified and described for receiving, storage, and shipping procedures.
9e.	Are documented pest control program and procedures addressed?	Review written applicable HACCP plan and facility documentation to determine if applicable pest control program and procedures are identified and described.
9f.	Are documented traceability and recall procedures addressed?	Review written applicable HACCP plan and facility documentation to determine if traceability and recall procedures are identified and described.
9g.	Are documented chemical control procedures addressed?	Review written applicable HACCP plan and facility documentation to determine if chemical control procedures are identified and described.
9h.	Are documented personal hygiene procedures addressed?	Review written applicable HACCP plan and facility documentation to determine if personal hygiene procedures are identified and described.
9i.	Are documented employee training programs for GMPs, HACCP, and sanitation addressed?	Review written applicable HACCP plan and facility documentation to determine if the applicable training programs are identified and described.