COMPASS
-ASSURANCE SERVICES-

COMPASS ASSURANCE SERVICES HACCP SELF-ASSESSMENT CHECKLIST
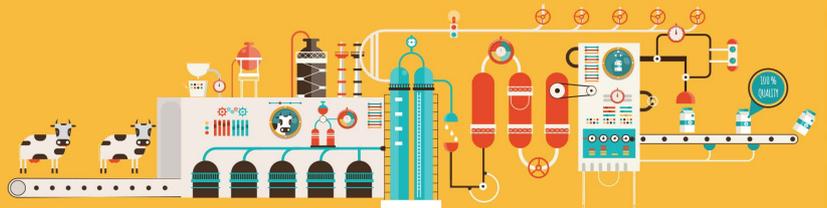
1 Purpose & Scope

1.1 HACCP PURPOSE AND SCOPE

Has the following been defined?

a) HACCP Plan scope

b) Purpose of the HACCP Plan

4 General Requirements

4.1 HACCP REQUIREMENTS

Are there adequate instructions developed?

These may take the form of:

a) Management plans

b) HACCP plans

c) Standards or procedures

5 Management Systems

5.1 FOOD SAFETY RESPONSIBILITIES

Is there a current organisational chart and position description for all those activities that impact on food safety?

Have responsibilities and authorities been communicated?

5.2 SYSTEM REVIEW

Are system procedures such as HACCP plans reviewed and updated on a regular basis and are these documents controlled effectively?

What is the frequency of reviews?

5.2.1 CONSISTENCY TO STANDARD

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

5.2.2 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?

5.3 FOOD SAFETY AWARENESS

Are processes in place to ensure the organisation are kept informed of food safety issues such as:

a) food regulations

b) legislative, scientific and technical developments relevant to the organisation?

6 Hazard Analysis and Critical Control Points (HACCP)

6.1 HAZARD ANALYSIS

Has a Hazard Analysis been undertaken for each process step identified in the *flow diagram* (5.2.2) which considers food safety and quality?

Each step needs to consider any potential contamination from:

a) chemical

b) physical

c) or biological sources

6.1.1 HAZARD SIGNIFICANCE AND LIKELIHOOD

Have the significance of hazards been identified including likelihood?

6.2 CRITICAL CONTROL POINTS

Have all Critical Control Points been identified and recorded? Note not all systems have critical control points.

6.3 CRITICAL LIMITS

Have critical limits been developed for all CCPs/QCPs?

Are they measurable?

6.4 MONITORING

Are there monitoring procedure in place for any identified CCPs/QCPs?

6.4.1 RECORDS

Are records kept of the monitoring activity related to CCPs and QCPs?

6.4.2 MONITORING REQUIREMENTS

Do monitoring procedures specify:

a) what

b) when

c) how

d) where

e) and who undertakes the monitoring?

6.4.3 CALIBRATION

Have all instruments used for monitoring CCPs/QCPs been calibrated?

Are records of calibration maintained?

6.5 CORRECTIVE ACTIONS

Is there a corrective action procedure in place?

6.5.1 CORRECTIVE ACTION RECORDS

Does the organisation maintain records of corrective actions undertaken?

6.5.2 CUSTOMER COMPLAINTS

Has the organisation implemented a customer complaints management system?

Are complaints recorded and managed by a competent staff member?

6.5.3 COMMUNICATION

Is there a system in place to communicate the corrective actions in response to complaints?

VERIFICATION

6.6

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.

6.5.3 VERIFICATION EFFECTIVENESS

Do verification activities demonstrate that the HACCP program is effective?

6.7 RECORDS

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

7 Training

7.1 TRAINING RECORDS

Is there evidence that at least one member of the organisation has attended a formal HACCP course? Records are required.

7.1.1 TRAINING NEEDS

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

8 Conditions Necessary to Maintain a Hygienic Environment

8.1 WORK IN PROGRESS

Is there a procedure for work in progress (WIP), rework and waste?

8.1.2 WATER AND ICE MONITORING

When applicable, are there water and ice quality monitoring and verification activities carried out?

8.1.3 STOCK ROTATION

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

8.2 HYGIENE POLICY

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

a)   Staff cleanliness (coughing and sneezing)

b)   Returning to work from breaks

c)   Staff hygiene checks undertaken

8.3 WOOD AND GLASS PROCEDURE

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

8.4 ALLERGEN MANAGEMENT

Is there an allergen management program implemented and are staff trained?

8.5 CLEANING PROGRAM

Is there a cleaning program that identified and includes:

a) Areas within the building that require cleaning, equipment, between batch cleaning, frequency, chemicals used and person responsible

b) Information documented for methods of cleaning and if the cleaning is effective? Are Material Safety Data Sheets (MSDS) available for cleaning chemicals?

c) Is there a cleaning schedule and are records maintained?

8.6 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)?

8.6.1 PEST MANAGEMENT RECORDS

Are records maintained for MSDS's and appropriate qualifications for service providers and reports of pest control services?

9 Inputs

9.1 RAW MATERIALS

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

9.2 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.

9.3 SUPPLIER APPROVAL

Is there a method for approving suppliers?

Has the criteria for selection and evaluation of suppliers been established?

9.3.1 SUPPLIER REVIEW

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

10 Product Identification and traceability

10.1 PRODUCT IDENTIFICATION

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

10.1.2 PRODUCT RECALL

Are there recall procedures appropriate to the organisations activities?