**Retail HACCP Plan Checklist**

This tool can assist a retail food establishment to prepare a HACCP plan.

Principle # 1 of HACCP - Hazard Analysis and Flow Chart

The documents written to support Principle #1 of HACCP are some of the most critical and demanding documents in the written plan. The following should be address in a logical order:

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| **Steps in the Hazard Analysis and Flow Chart** | |
|  | Name of the food product and the specialized process for which the HACCP plan is being submitted. |
|  | Detailed formulation and complete list of ingredients. |
|  | Packaging and food contact materials, if used. Show that all are approved for food use. Is it Reduced Oxygen Packaging (ROP)? |
|  | Facility layout and information on whether a dedicated workspace is provided to conduct the specialized process. |
|  | Copy of labeling – Check for any required warning concerning temperatures or shelf life and disposal of food. |
|  | Hazard analysis. |
|  | Intended use of product/institutional use/highly susceptible populations (HSP)? |
|  | How it will be sold or served, including package size. |
|  | Shelf life. |
|  | A detailed flow chart showing the holding and preparation of the food product from receiving raw ingredients through packaging and any subsequent distribution. Flow chart should include each specific step and should include cooking, filling and specific temperatures, times, pH or other hurdles that are designed to control food hazards. |

Principle #2 of HACCP – Establish Critical Control Points

The following should be addressed:

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| **Steps to Establish Critical Control Points (CCPs)** | |
|  | A description of the pertinent hazards associated with this food and specialized process. |
|  | Critical control points on the flow chart that are designed to control hazards associated with the food. |
|  | Description of how the CCP will control the pertinent hazards and specific reference information source. |

Principle #3 of HACCP – Establish Critical Limits

The following should be addressed:

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| **Steps to Establish Critical Limits (CLs)** | |
|  | A CL must be provided for each CCP. |
|  | Is the critical limit correct based on FDA Model Food Code? |
|  | Can the CL be measured? How? |
|  | Will this CL control the hazard(s)? |

Principle #4 of HACCP – Establish Monitoring Procedures

The following should be addressed:

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| **Steps to Establish Monitoring Procedures** | |
|  | List of items to be monitored. The list will vary somewhat depending upon the specialized process. |
|  | Forms or checklists used for monitoring each item. |
|  | Who will monitor the item? When will it be monitored and how often? |
|  | Examples of items that might be monitored: sanitation, pH, water activity (aw), calibration of equipment, temperatures, recipe (each batch), corrective actions, employee training, plan verification and review, HACCP revisions, changes in the recipe or protocols, receiving, food disposal, other. |
|  | Indicate if monitoring is an OBSERVATION or a MEASUREMENT. |
|  | Is/are instrument(s) calibrated? |
|  | Is employee training documented? |
|  | How will records for continuous monitoring be provided? (example: sous vide, cook chill/drying meat/fermenting) |

Principle #5 of HACCP – Establish Corrective Actions

The following should be addressed:

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| **Steps to Establish Corrective Actions** | |
|  | Have a specific corrective action for each CCP that is out of compliance. |
|  | Who will be responsible for the corrective action? |
|  | How will each occurrence be documented? |
|  | Plan for food disposal, when necessary, is in Standard Operating Procedure (SOP) |
|  | Does the established monitoring plan identify all deviations? |

Principle #6 of HACCP – Establish Record Keeping Procedures

The following should be addressed:

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| **Steps to Establish Record Keeping Procedures** | |
|  | Where are in-use records kept? |
|  | How long will the records be kept? |
|  | Specify records to be kept. |
|  | HACCP Plan revision schedule |
|  | Where are completed SOP and Sanitation Standard Operating Procedure (SSOP) records stored? Employee training records, monitoring records location? |

Principle #7 of HACCP – Establish Verification Procedures

The following should be addressed:

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| **Steps to Establish Verification Procedures** | |
|  | Who is responsible for HACCP Plan verification? |
|  | What is the procedure for verification and the frequency? |
|  | What will be verified? Will records also be verified? |
|  | Will the verification confirm that established procedures are followed? |
|  | Will the verification be documented in writing and any actions taken recorded? |
|  | Is the HACCP system reviewed annually to keep information up to date? |
|  | Is there a statement regarding sending notification of changes in the specialized process or HACCP plan to the regulatory authority? |

*Note: Once approved by jurisdiction, a HACCP plan must be followed exactly as written. If the approved HACCP plan is not followed, then it is considered null and void. The establishment is responsible for contacting their licensing jurisdiction(s) before modifying an approved HACCP plan.*