Auditing of Pre-requisite Programmes and HACCP Principles in Irish Beef Slaughterhouses

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Contents

Summary

Auditing is a valuable tool used for verification. This document provides auditors with a detailed guide for auditing pre-requisite programmes in beef slaughterhouses. This document also provides auditors with a guide to auditing Hazard Analysis and Critical Control Point (HACCP) principles establishing whether or not a HACCP system has been developed and is being fully implemented in the beef slaughterhouse. The auditing of the food safety management system (FSMS) verifies if the system is operating correctly and that the slaughterhouse management are in compliance with food safety legislation.

This document is the second of two related publications from the project 'HACCP and Hygiene Auditing in Irish Beef Slaughterhouses' which is funded by the Food Institutional Research Measure (FIRM) and operated by the Irish Department of Agriculture and Food (DAF). The first document was titled 'Development of pre-requisite programmes and HACCP principles for Irish Beef Slaughterhouses'.

Auditors[1], to ensure effective implementation and compliance with legislative requirements, should use this guidance document in the evaluation of pre-requisite programmes and the HACCP principles **[Regulation (EC) No 854/2004 Chapter II Article 4 Paragraph 4 (a-h)].** This document is not a comprehensive review of food safety legislation for beef slaughter. A good working knowledge is required of all referenced legislation.

[1] Auditors should have completed a recognised auditor training course.

Structure of this document

It is the intention of this document to:

- provide a guidance checklist for auditing beef slaughterhouse managements' pre-requisite programmes,

- provide a guidance checklist for auditing beef slaughterhouse managements' HACCP plan and

- provide a guidance checklist to verify beef slaughterhouse managements' HACCP system.

The document is divided into two parts:

Part one: The audit checklist for pre-requisite programmes

Part one outlines a checklist that auditors can use as a guide when auditing beef slaughterhouse managements' pre-requisite programme. The checklist is only a guide and should be treated as such. The checklist incorporates the major areas associated with pre-requisite programmes, however the checklist is not exhaustive.

Part two: The audit checklist for the HACCP principles

Part two includes a checklist that an auditor can use to assess if beef slaughterhouse management have the HACCP principles documented into their HACCP plan. The second audit checklist in this section will assist the auditor in assessing if the HACCP principles are working effectively at sampled intervals. It will also assess if the necessary records are available, to prove that the HACCP system is fully operational.

Introduction

Following on from the publication of the White Paper on Food Safety (2000) the European Commission carried out a major review of the hygiene directives. These Directives (seventeen in total) have been gradually developed since 1964 in response to the needs of the internal market, taking into account a high level of protection for the consumer. The multiplicity of these Directives, the intermingling of different disciplines, (hygiene, animal health, official controls) and the existence of different hygiene regimes for products of animal origin and other food have led to a detailed and complex situation. This has led to the separation of various aspects of food hygiene from animal health and official control issues.

This document refers to both current Irish and European legislation and also to the forthcoming hygiene regulations, mentioned above. The current legislation will be revoked on the 1st January 2006 by the new Hygiene Package in accordance with Directive 2004/41/EC repealing certain directives concerning food hygiene and health conditions for the production and placing on the market of certain products of animal origin intended for human consumption, and amending Council Directives 89/662/EEC and 92/118/EEC and Council Decision 95/408/EC.

The three hygiene regulations that are applicable to this document are:

- Regulation (EC) No 852/2004 of the European Parliament and of the Council on the hygiene of Foodstuffs. This Regulation often referred to as Hygiene 1 sets out the rules applicable to all food – from the farm to the point of sale to the consumer and places primary responsibility for the safety of food on food producers.

- Regulation (EC) No 853/2004 of the European Parliament and of the Council laying down specific hygiene rules for food of animal origin. This Regulation often referred to as Hygiene 2 includes specific hygiene rules for food of animal origin in addition to the general rules in Hygiene 1.

- Regulation (EC) No 854/2004 of the European Parliament and of the Council laying down specific rules for the organisation of official controls on products of animal origin intended for human consumption. This Regulation often referred to as Hygiene 3, sets down detailed rules for official controls on products of animal origin.

In the Republic of Ireland beef slaughterhouses are classified into two categories: local authority slaughterhouses and export plants. There are currently two hundred and seventy local slaughterhouses licensed for the domestic market in the Republic of Ireland and thirty-six approved bovine export slaughterhouses. The Department of Agriculture and Food has responsibility in regulating the export plants, while the Local Authority Veterinary service is responsible for regulating the local authority slaughterhouses. When the new Hygiene Regulations are enacted on the 1st January 2006, all slaughterhouses will be technically classified as one and all carcasses and meat products will have the same EU health mark.

It is envisaged that slaughterhouse regulators i.e. Department of Agriculture and Food Veterinarians and Local Authority Veterinary service can use these checklists as guidance for the enforcement of all legislation pertaining to food safety in beef slaughterhouses. Although the document highlights examples below of critical, major and minor non-conformances it does not specify in the checklist which criteria are deemed as such. These decisions remain a matter for the professional judgement of the auditor carrying out the audit.

It is recommended that auditing should be carried out in a contra flow to slaughtering, i.e. from clean to dirty areas, to avoid the risk of cross contamination. An auditee can be non-compliant on the assessment criteria based on critical, major and minor non-compliances[2]. A critical non-compliance is where there is a failure to comply with food safety legislation for example, the presence of Specified Risk Material (SRM) on a carcass. If there are any of these recorded then the auditee is instantly non-compliant. A major non-compliance is where there is a substantial failure to meet the requirements of a statement of intent, for example no training records for a production line operative. A minor non-compliance is not an immediate food safety risk to the consumer, for example a cracked tile which could facilitate the accumulation of dirt and thus bacterial growth.

At the closing meeting the auditor should present the audit findings, giving an overall account of the proceedings. Non-compliances and / or positive feedback should be discussed together with supporting evidence and a schedule for any corrective action(s) required. This gives slaughterhouse management a set period of time, agreed by both sides, to complete any non-conformances. The onus is then on the slaughterhouse management to close and sign off on the non-compliances as soon as the corrective action has been taken.

[2] The non-compliances stated are examples only and do not represent the views of the Department of Agriculture and Food or its services.

Part one: The audit checklists for pre-requisite programmes

Section A is used for recording details about the auditee for the auditor's records.

Section B is the auditor's checklist and it is divided into four columns:

1) location: indicates the location of the inspection, either in the slaughterhouse ***(SH)*** and / or in the records office ***(RO)***,

2) assessment criteria: the auditor(s) must evaluate whether each criterion was satisfactorily adhered to or not,

3) compliance or non-compliance ***(S: Satisfactory U: Unsatisfactory N/A: Not applicable)*** and

4) objective evidence / comments for each incomplete criterion identified.

Section C is the audit summary sheet and is used to list any non-conformances that were found with reference to the assessment criteria stated in the checklist.

Section A - Audit details

Auditor(s): _____

_____

Date: _____

Audit reference: _____

Beef slaughterhouse name: _____

EU Approval number: _____

Address: _____

_____

Phone numbers: _____ **Fax number:** _____

E-mail: _____

Number of employees: _____

Name(s) of slaughterhouse contact: _____

_____

_____

(As this audit uses a sample-based approach, the potential non-conformance(s) identified could not be construed to include all non-conformances in the slaughterhouse).

Section B

1. Checklist for slaughterhouse structure

Note: SH: Slaughterhouse RO: Records Office S: Satisfactory U: Unsatisfactory N/A: Not applicable

Location	Assessment criteria	Compliance	Objective evidence / comments
RO	**1.1** Exterior: - building(s) - yard area	 S: U: N/A S: U: N/A	
SH	**1.2** Lairage: (i.e. maintained, easy to clean prevented build up of dirt): - roofing - impervious floors & passageways - drainage - lighting - water & feeding troughs - ante-mortem area - detained animal pen - veterinary facilities - transport vehicle wash	 S: U: N/A S: U: N/A S: U: N/A S: U: N/A S: U: N/A S: U: N/A S: U: N/A S: U: N/A S: U: N/A S: U: N/A	
A & RO	**1.3** Stunning equipment (including back-up stunner). ***(Examine records)***	S: U: N/A	
SH	**1.4** Production line layout (i.e. minimised risk of cross contamination from dirty to clean areas).	S: U: N/A	
SH	**1.5** Plant layout & structures (i.e. maintained, easy to clean prevented build up of dirt): - yard area(s) - internal walls - floors/coving - windows - doors - ceilings/overhead fixtures - stairs	 S: U: N/A S: U: N/A S: U: N/A S: U: N/A S: U: N/A S: U: N/A S: U: N/A	
SH	**1.6** Trapped drains (i.e. can handle over-spills and be easily cleaned).	S: U: N/A	
SH	**1.7** No evidence of excess condensation.	S: U: N/A	
SH	**1.8** Equipment for sanitising: - knives/hooks/saws - water temperature at 82°C or higher	 S: U: N/A S: U: N/A	
SH	**1.9** Workstation wash-hand basins at a suitable temperature i.e. 42°C +/- 3°C	S: U: N/A	
SH	**1.10** Facilities in: - red offal room - green offal room	 S: U: N/A S: U: N/A	

1. Checklist for slaughterhouse structure (cont.)

Note: SH: Slaughterhouse RO: Records Office S: Satisfactory U: Unsatisfactory N/A: Not applicable

Location	Assessment criteria	Compliance	Objective evidence / comments
SH & RO	**1.11** Air temperature: - chill room 7°C or lower - frozen storage area - 12°C or lower ***(Examine records)***	S: U: N/A S: U: N/A	
SH	**1.12** Dry goods store (i.e. provide for hygienic storage).	S: U: N/A	
SH	**1.13** Bootwash or equivalent at entrance to production (i.e. in working order).	S: U: N/A	
SH	**1.14** Changing rooms: - lockers - showers - washbasins	S: U: N/A S: U: N/A S: U: N/A	
SH	**1.15** One WC & associated wash-hand basin per: - 1/15 males - 1/10 females	S: U: N/A S: U: N/A	
SH & RO	**1.16** Wash-hand basins: - non-hand/arm operable - supply of premixed water at a suitable temperature i.e. at 42°C +/- 3°C - liquid anti-bacterial soap ***(Examine records)***	S: U: N/A S: U: N/A S: U: N/A	
SH	**1.17** Provision in the toilet(s) of: - paper towels - bin(s) - toilet paper	S: U: N/A S: U: N/A S: U: N/A	
SH	**1.18** Production equipment.	S: U: N/A	
SH & RO	**1.19** Temperature monitoring equipment calibrated as per manufacturers specifications (e.g. thermographs, temperature probes). ***(Examine records)***	S: U: N/A	
SH & RO	**1.20** All equipment and food containers, used in production, constructed from non-toxic food grade materials. ***(Examine records)***	S: U: N/A	
SH & RO	**1.21** Food grade lubricants used on equipment used in the production process. ***(Examine records)***	S: U: N/A	

2. Checklist for slaughterhouse maintenance

Note: SH: Slaughterhouse RO: Records Office S: Satisfactory U: Unsatisfactory N/A: Not applicable

Location	Assessment criteria	Compliance	Objective evidence / comments
RO	**2.1** Documented maintenance programme that includes: - schedules - procedures - records ***(Examine records)***	 S: U: N/A S: U: N/A S: U: N/A	

3. Checklist for slaughterhouse services

Note: SH: Slaughterhouse RO: Records Office S: Satisfactory U: Unsatisfactory N/A: Not applicable

Location	Assessment criteria	Compliance	Objective evidence / comments
SH & RO	**3.1** Water supply: - potable - chlorination levels i.e. 0.2-0.5 ppm ***(Examine records)***	 S: U: N/A S: U: N/A	
SH	**3.2** Storage tanks for potable water were covered.	S: U: N/A	
RO	**3.3** Documented flow diagram of the water distribution system. ***(Examine records)***	 S: U: N/A	
RO	**3.4** Documented cleaning programme that included: - schedules - procedures - records ***(Examine records)***	 S: U: N/A S: U: N/A S: U: N/A	
SH	**3.5** Lockable storage area for all cleaning chemicals and cleaning equipment.	 S: U: N/A	
SH	**3.6** Wash-up troughs (i.e. facilitated washing and rinsing of production equipment).	 S: U: N/A	
RO	**3.7** Microbial testing conducted in accordance with 2001/471/EC or Hygiene Regulations 2006; Testing of surfaces: **TVC**: 0 – 10 / cm^2 acceptable > 10 / cm^2 unacceptable **Total Enterobacteriaceae Count**: 0 – 1 / cm^2 acceptable > 1 / cm^2 unacceptable ***(Examine records)***	 S: U: N/A S: U: N/A	

3. Checklist for slaughterhouse services (cont.)

Note: SH: Slaughterhouse RO: Records Office S: Satisfactory U: Unsatisfactory N/A: Not applicable

Location	Assessment criteria	Compliance	Objective evidence / comments
RO	**3.8** Microbial testing conducted in accordance with 2001/471/EC or Hygiene Regulations 2006; Testing of product: **TVC**: < 3.5 acceptable 3.5 - 5.0 marginal > 5.0 unacceptable **Total Enterobacteriaceae Count**: < 1.5 acceptable 1.5 - 2.5 marginal > 2.5 unacceptable ***(Examine records)***		
RO	**3.9** Records available of BSE sampling/results. ***(Examine records)***	S: U: N/A	
SH & RO	**3.10** Pest control programme that included: - location map of all bait points and electric insectocutors - record of inspections and corrective actions taken - a safety data sheet of where the chemicals are used and stored (applicable only if pest control is carried out internally) ***(Examine records)***	S: U: N/A S: U: N/A S: U: N/A	
SH	**3.11** Waste skips/containers: - covered (when not in use) - leak proof - located away from the food production site ***(Examine records)***	S: U: N/A S: U: N/A S: U: N/A	

4. Checklist for slaughterhouse operation

Note: SH: Slaughterhouse RO: Records Office S: Satisfactory U: Unsatisfactory N/A: Not applicable

Location	Assessment criteria	Compliance	Objective evidence / comments
RO	**4.1** Management personnel received - food safety & hygiene training - pre-requisite/HACCP training - SOPs for cattle slaughter (where applicable) ***(Examine records)***	S: U: N/A S: U: N/A S: U: N/A	
RO	**4.2** Production operatives received - food safety & hygiene training - SOP training - CCP training (where appropriate) ***(Examine records)***	S: U: N/A S: U: N/A S: U: N/A	
SH & RO	**4.3** Cleaning employees received - food safety & hygiene training - appropriate SOP training ***(Examine records)***	S: U: N/A S: U: N/A	
SH & RO	**4.4** Maintenance employees received - food safety & hygiene training - appropriate SOP training ***(Examine records)***	S: U: N/A S: U: N/A	
SH & RO	**4.5** Service employees received - food safety & hygiene training - appropriate SOP training ***(Examine records)***	S: U: N/A S: U: N/A	
RO	**4.6** Employees free from health impediments. ***(Examine records)***	S: U: N/A	
SH	**4.7** Protective clothing provided (i.e. adequate for the operations undertaken).	S: U: N/A	
SH	**4.8** Storage facilities for clean and dirty protective clothing.	S: U: N/A	
SH	**4.9** Production employees wore no jewellery (Exception plain wedding ring/band).	S: U: N/A	
SH	**4.10** Production area had: - no smoking - no eating/drinking	S: U: N/A S: U: N/A	
SH	**4.11** Visitors provided with: - protective clothing - hair covering - footwear	S: U: N/A S: U: N/A S: U: N/A	

4. Checklist for slaughterhouse operation (cont.)

Note: SH: Slaughterhouse RO: Records Office S: Satisfactory U: Unsatisfactory N/A: Not applicable

Location	Assessment criteria	Compliance	Objective evidence / comments
SH & RO	**4.12** Documented & fully implemented chemical residue programme. ***(Examine records)***	S: U: N/A	
SH & RO	**4.13** Documented & fully implemented clean livestock policy. ***(Examine records)***	S: U: N/A	
SH & RO	**4.14** Identity records available of all cattle slaughtered e.g. ER 106 forms, kill sheets. ***(Examine records)***	S: U: N/A	
SH	**4.15** Adherence to SOPs at all stages of cattle slaughter.	S: U: N/A	
SH & RO	**4.16** Carcasses & offal identifiable (i.e. use of coded tags/labels). ***(Examine records)***	S: U: N/A	
RO	**4.17** Documented product recall/withdrawal procedure - recall policy - recall plan - testing recall plan - initiation of product recall - managing product recall - reviewing product recall ***(Examine records)***	S: U: N/A S: U: N/A S: U: N/A S: U: N/A S: U: N/A S: U: N/A	

Section C - Audit summary sheet

Did the auditee meet the full requirements of the pre-requisite audit?

Yes:_____ No:_____

If no, please indicate the corrective action required in the table below.

NC Ref No: (Non-conformance reference number)

NC Ref No.	Corrective action required	Must be completed by Name: Date:	Closed out Signed off:

Signed by auditor:_____ **Signed by auditee:_____**

Date:_____ **Date:_____**

Part two: The HACCP principles

HACCP criteria

When the auditor is reviewing the slaughterhouse management's HACCP plan, the following HACCP principles should be taken into consideration:

Hazard analysis

Hazard analysis means identifying any food safety hazards that may exist in the beef slaughter process and describing the stages in the process where these hazards might occur. Each identified hazard should then be evaluated in terms of likelihood of occurrence and the severity of the effect. There should be a summary kept on file of the significant hazards identified in the hazard analysis process at each stage in the slaughter process.

Control measures

The control measures developed for each hazard identified in the hazard analysis should be stated. As noted above, each control measure needs to be kept separate for monitoring purposes.

Critical Control Points (CCPs)

For the purposes of this document a critical control point is defined by Codex as 'a point, step or procedure at which control can be applied and a food safety hazard can be prevented, eliminated or reduced to an acceptable level'.

Critical limits

The critical limits are the maximum or minimum value(s) to which a hazard must be controlled at a CCP to prevent, eliminate or reduce to an acceptable level the occurrence of the identified food safety hazard. Where a control measure has more than one critical limit, each critical limit must be stated to ensure correct monitoring. Each limit may be monitored in a different manner. It should be stated that each critical limit should be directly related to the control measure and if this is not evident, then either the control measure needs to be reconsidered or the critical limit re-determined.

Monitoring

Monitoring assesses whether a CCP is under control and helps produce an accurate record for future use in verification. Monitoring of critical limits by either observation and / or tests determines whether or not the process at that step is under control. Monitoring records should be completed in real time. There are five key questions that should be defined to ensure control of each critical limit.

What? This defines the target control measure. For example, the control measures to maintain the required internal temperature of the deep round muscle at < 7°C.

How? This defines the method by which the *what?* is to be measured. For example using a temperature gauge in accordance with an identified procedure.

Where? This defines the location for undertaking the *how?* and the *what?* The measuring of the temperature in the chill rooms should be made at a series of identified points.

When? This defines the timing and / or frequency of the *how?* and the *what?*

Who? The allocation of responsibility for undertaking the monitoring must be clearly stated and understood by the designated personnel when conducting the monitoring procedures.

Corrective Action

Any deviation from stated procedures requires corrective action. A deviation is a failure to meet critical limits. There are four aspects that should be considered when the monitoring procedure detects a non-conformance:

1) the monitoring results should be used to adjust the process in order to maintain control.

2) if control is lost, what are the options for dealing with the non-conformance?

3) what is the correction process that prevents the process failure from occurring in the future?

4) is there appropriate documentation of the non-conformance(s) that highlights whether the corrective action was taken and was it effective i.e. maintenance of corrective action records?

Verification

Verification is the application of methods, procedures, tests and other evaluations, in addition to monitoring, to determine compliance with the HACCP principles (Anon, 1997). Verification is a programme separate from monitoring that should ensure that the HACCP plan is achieving its objective. The Commission Decision 2001/471/EC requires the operator of a licensed fresh meat slaughterhouse to implement HACCP-based procedures that comply with Article 1 of the Commission Decision and to conduct regular checks on the general hygiene conditions of the operation.

It is the slaughterhouse management's responsibility to develop a schedule of activities that incorporates the following:

- validation should confirm that the control measure identified is capable of achieving the intended level of control of the identified food safety hazard, for example, valid limits for chill temperatures to reduce microbial spoilage,

- monitoring checks performed and recorded,

- verification review i.e. internal audits, to ensure that all the monitoring checks and corrective actions were performed and recorded correctly,

- microbiological examination of the carcasses and food contact surfaces and

- review of system non-conformances i.e. customer complaints.

It will be the responsibility of the auditor to ensure that verification activities are being undertaken.

Record keeping

For the HACCP plan to function correctly one of the main requirements is accurate record keeping. This applies to monitoring, corrective actions, verification and validation. All of these steps require accurate record keeping which can be used to assess the efficient working of the system but can also be used to determine important decisions such as frequency of monitoring or verification requirements. All records and documents associated with monitoring CCPs must be signed by the person(s) responsible for monitoring and by his or her manager. These records must be legible, clearly identified, signed and dated (Anon., 1997).

There are also a number of records that must be held, by law, for certain periods of time. The slaughterhouse owner must maintain records of all animals entering the slaughterhouse and slaughter products leaving, any checks carried out and the results of such checks, and these records must be maintained for six months **[S.I. No. 434 of 1997; Part III, Paragraph (8: (b))].** Any microbiological checks carried out on the general hygiene of conditions of production and on production equipment must keep their results for a period of two years. **[S.I. No. 434 of 1997; Part III, Paragraph (12: (1:d))].** Carcass microbiological records must be kept for a period of at least eighteen months **[Commission Decision 2001/471/EC Annex 1].**

The audit checklist for the HACCP principles

Section D is used for recording details about the auditee for the auditor's records.

Section E is the auditor's checklist and it is divided into three columns:

1) assessment criteria: the auditor(s) must evaluate whether each criterion was satisfactorily adhered to or not,

2) compliance or non-compliance ***(S: Satisfactory U: Unsatisfactory N/A: Not applicable)*** and

3) objective evidence / comments for each incomplete criterion identified and / or positive points.

Section F is the audit summary sheet and is used to list any non-conformances that were found with reference to the assessment criteria stated in the checklist.

Section D - Audit details

Auditor(s): _____

_____

Date: _____

Audit reference: _____

Beef slaughterhouse name: _____

EU Approval number: _____

Address: _____

_____

Phone numbers: _____ **Fax number:** _____

E-mail: _____

Number of employees: _____

Name(s) of slaughterhouse contact: _____

_____

_____

(As this audit uses a sample-based approach, the potential non-conformance(s) identified could not be construed to include all non-conformances in the slaughterhouse).

Section E - Audit checklist of a HACCP plan

S: Satisfactory U: Unsatisfactory (Evidence of documentation / records) N/A: Not applicable

Assessment Criteria	S / U N/A	Objective evidence / comments
1.1 Was there an appointed trained HACCP co-ordinator?		
1.2 Was the HACCP team represented by each department?		
1.3 Were the HACCP team responsibilities established and documented?		
1.4 Was a product description/product specification documented for the carcasses that included - storage conditions - distribution conditions?		
1.5 Was the intended use of the carcasses specified & documented?		
1.6 Were all the process steps documented?		
1.7 Was a schematic/process flow diagram available for each product that included -inputs -outputs -detection examination* -was the flow diagram verified?		
1.8 Was the plan reviewed IF the process was altered e.g. introduction of new equipment?		
Principle 1 – Hazard Analysis		
2.1 Were all biological, chemical and physical food safety hazards identified at each process step?		
2.2 Was each hazard assessed for significance?		
2.3 Was there records kept to support the identification of each food safety hazard noted?		
Principle 2 - Critical Control Points		
3.1 Were there Critical Control Points identified?		
3.2 Did the CCPs provide effective control for each of the significant hazards identified?		

**Responsibility of veterinary inspector and / or temporary veterinary inspector e.g. detained for trimming faecal stains.*

Audit checklist of a HACCP plan

S: Satisfactory U: Unsatisfactory (Evidence of documentation / records) N/A: Not applicable

Assessment Criteria	S / U N/A	Objective evidence / comments
Principle 3 - Critical Limits		
4.1 Were there critical limits established for each CCP?		
4.2 Was the critical limit sufficient to achieve the desired control over the hazard?		
4.3 Which of the following methods were used to determine the critical limits - experimental evidence - published results / reports / guidance documents - consultants - if other please specify?		
Principle 4 - Monitoring Procedures		
5.1 Was there monitoring procedures developed for each CCP?		
5.2 Did the monitoring procedures specify - what was monitored - when was it monitored - how was is monitored - where was is monitored - who monitored it?		
5.3 Was the frequency of monitoring sufficient to assure that the CCP could be controlled?		
5.4 Were monitoring records signed and dated by the appropriate personnel?		
Principle 5 - Corrective Action		
6.1 Were corrective actions developed and documented for each CCP?		
6.2 Did the corrective actions ensure that the critical control point could be returned within the critical limit?		

Audit checklist of a HACCP plan

S: Satisfactory U: Unsatisfactory (Evidence of documentation / records) N/A: Not applicable

Assessment criteria	S / U N/A	Objective evidence / comments
Principle 6 – Verification Procedures		
7.1 Were verification activities in place to keep CCP's within the critical limits set i.e. - review of the hazard analysis - calibration - corrective action(s) - internal audits?		
7.2 How was each critical limits for each CCP validated?		
7.3 Was the monitoring frequency of the HACCP programme effective?		
Principle 7 - Record Keeping		
8.1 Did management sign off on the HACCP plan?		
8.2 Was there a HACCP summary sheet available?		
8.3 Were record sheets available for all HACCP verification activities i.e. - records for CCPs – action for non-conformance & corrective action - verification records - validation records - if changes occurred to the HACCP plan?		

Section F - Audit summary sheet

Did the auditee meet the full requirements of the HACCP plan audit?

Yes:_____ No:_____

If no, please indicate the corrective action required in the table below.

NC Ref No: (Non-conformance reference number)

NC Ref No.	Corrective action required	Must be completed by Name: Date:	Closed out Signed off:

Signed by auditor:_____ **Signed by auditee:_____**

Date:_____ **Date:_____**

The audit checklist for the verification of the HACCP system

Section G is used for recording details about the auditee for the auditor's records.

Section H is the auditor's checklist and it is divided into three columns:

1) assessment criteria: the auditor(s) must evaluate whether each criterion, was satisfactorily adhered to or not,

2) compliance or non-compliance ***(S: Satisfactory U: Unsatisfactory N/A: Not applicable)*** and

3) objective evidence / comments for each incomplete criterion identified and / or positive points.

Section I is the audit summary sheet and is used to list any non-conformances that were found with reference to the assessment criteria stated in the checklist.

Section G - Audit details

Auditor(s): _____

_____

Date: _____

Audit reference: _____

Beef slaughterhouse name: _____

EU Approval number: _____

Address: _____

_____

Phone numbers: _____ **Fax number:** _____

E-mail: _____

Number of employees: _____

Name(s) of slaughterhouse contact: _____

_____

_____

(As this audit uses a sample-based approach, the potential non-conformance(s) identified could not be construed to include all non-conformances in the slaughterhouse).

Section H - HACCP verification audit checklist

S: Satisfactory U: Unsatisfactory (Evidence of documentation / records) N/A: Not applicable

Assessment criteria	S / U N/A	Objective evidence / comments
Principle 6 – Verification Procedures		
1.1 Did the verification procedures demonstrate the effectiveness of the HACCP programme e.g. microbiological records?		
1.2 Were the critical limits for each CCP validated?		
1.3 Did the verification activities demonstrate that the CCP's were under control i.e. - review of the hazard analysis - calibration - corrective action(s) - internal audits?		
1.4 Was the monitoring of the HACCP programme verified as appropriate i.e. daily / weekly / monthly / yearly basis?		
1.5 Did the verification activities demonstrate that the HACCP programmes were effective?		
Principle 7 - Record Keeping		
2.1 Did management sign off on the HACCP plan?		
2.2 Was there a HACCP summary sheet available?		
2.3 Were records maintained for all HACCP verification activities e.g. - records for CCPs – action for non-conformance & corrective action - verification records - validation records - records if changes were made to the HACCP plan?		
2.5 Were all critical limits adhered to?		
2.6 Were records maintained for all the Monitoring procedures?		

HACCP verification audit checklist

S: Satisfactory U: Unsatisfactory (Evidence of documentation / records) N/A: Not applicable

Assessment criteria	S / U N/A	Objective evidence / comments
Auditing		
3.1 Were internal audits carried out on the HACCP principles?		
3.2 Was there an audit schedule?		
3.3 Were internal audits conducted in response to significant changes in the slaughter process e.g. process or layout change?		
3.5 Were internal audits carried out by a trained auditor?		
3.4 Was follow up corrective action taken in the case of audit non - conformances?		

Section I - Audit summary sheet

Did the auditee meet the full requirements of the HACCP verification audit?

Yes:_____ No:_____

If no, please indicate the corrective action required in the table below.

NC Ref No: (Non-conformance reference number)

NC Ref No.	Corrective action required	Must be completed by Name: Date:	Closed out Signed off:

Signed by auditor:_____ **Signed by auditee:_____**

Date:_____ **Date:_____**

Glossary of terms

Animal by-products: The entire bodies or parts of animals or products of animal origin not intended for human consumption.

Audit: A systematic and independent examination to determine whether activities and related results comply with planned arrangements and whether these arrangements are implemented effectively and are suitable to achieve objectives.

Control: (a) To manage the conditions of an operation to maintain compliance with established criteria. (b) The state where correct procedures are being followed and criteria are being met.

Control measure: Any action or activity that can be used to prevent, eliminate or reduce a hazard.

Corrective action: Any action to be taken when the results of monitoring at the CCP indicate a loss of control.

Critical Control Point: A step at which control can be applied and is essential to prevent or eliminate a food safety hazard or reduce it to an acceptable level.

Critical Limit: A maximum and/or minimum value to which a biological, chemical or physical parameter must be controlled at a CCP to prevent, eliminate or reduce to an acceptable level the occurrence of a food safety hazard.

HACCP: A system, which identifies, evaluates and controls hazards, which are significant for food safety.

HACCP Plan: A document prepared in accordance with the principles of HACCP to ensure control of hazards which are significant for food safety in the segment of the food chain under consideration.

HACCP System: The result of the implementation of the HACCP Plan.

HACCP Team: The group of people in a slaughterhouse who are responsible for developing, implementing and maintaining the HACCP system.

Hazard: A biological, chemical or physical agent in, or condition of, food with the potential to cause an adverse health effect.

Hazard Analysis: The process of collecting and evaluating information on hazards associated with the food under consideration to decide which are significant and must be addressed in the HACCP plan.

Monitor: The act of conducting a planned sequence of observations or measurements of control parameters to assess whether a CCP is under control.

Pre-requisite programme: Procedures, including Good Manufacturing Practices and Good Hygiene Practices that address operational conditions providing the foundation for the HACCP system.

Product recall: The removal of unsafe food from the distribution chain extending to food sold to consumers and therefore involving communication with consumers.

Product withdrawal: The removal of unsafe food from the distribution chain not extending to food sold to the consumer.

Quality control: A system by which a desired standard of quality in a product or process is maintained.

Risk assessment is the identification and quantification of the risk resulting from a specific use or occurrence of a hazard, taking into account the possible harmful effects on individual people or society from that hazard.

Severity: The seriousness of the effect(s) of a hazard.

Specified Risk Material: Is the skull, brain, eyes, tonsils and the vertebral column excluding the vertebrae of the tail, but including the dorsal root ganglia and spinal cord of bovine animals aged over twelve months and the intestines from the duodenum to the rectum of bovine animals of all ages.

Standard Operating Procedure (SOP): This is a detailed set of instructions, which describe how to carry out a repetitive task.

Sanitation Standard Operating Procedure (SSOP): This is a description of the methods applied to the slaughterhouse relating to hygiene and sanitation.

Traceability: The ability to follow a product batch forward through the slaughter process via the distribution chain to the immediate customer and backwards to the supplier of cattle, services and packaging etc.

Validation: that element of verification focused on collecting and evaluating scientific and technical information to determine if the HACCP plan, when properly implemented, will effectively control the hazards.

Verification: The application of methods, procedures, tests and other evaluations, in addition to monitoring, to determine compliance with the HACCP plan.

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Anon (1997), Recommended International Code of Practice, General Principles of Food Hygiene, Codex Alimentarius Commission, 1-1969, Rev. 3.

Commission Decision of 8th June 2001/471/EC Laying down rules for the regular checks on the general hygiene carried out by the operators in establishments according to Directive 64/433/ECC on health conditions for the production and marketing of fresh meat and Directive 71/118/EEC on health problems affecting the production and placing on the market of fresh poultry meat.

Council Decision of 22 June 1995 on the conditions for drawing up, for an interim period, provisional lists of third country establishments from which Member States are authorised to import certain products of animal origin, fishery products or live bivalve molluscs. (95/408/EC).

Council Directive 89/662/EEC of 11 December 1989 concerning veterinary checks in intra-Community trade with a view to the completion of the internal market.

Council Directive 92/118/EEC of 17 December 1992 laying down animal health and public health requirements governing trade in and imports into the Community of products not subject to the said requirements laid down in specific Community rules referred to in Annex A (I) to Directive 89/662/EEC and, as regards pathogens, to Directive 90/425/EEC.

European Communities (Fresh Meat) Regulations 1997 (S.I. No. 434 of 1997).

Regulation (EC) No 178/2002 of the European Parliament and of the Council of 28 January 2002 laying down the general principles and requirements of food law, establishing the European Food Safety Authority and laying down procedures in matters of food safety.

Regulation (EC) No 852/2004 of the European Parliament and of the Council of 29 April 2004 on the hygiene of foodstuffs.

Regulation (EC) No 853/2004 of the European Parliament and of the Council of 29 April 2004 laying down specific hygiene rules for food of animal origin.

Regulation (EC) No 854/2004 of the European Parliament and of the Council of 29 April 2004 laying down specific rules for the organisation of official controls on products of animal origin intended for human consumption.