



Food Safety Enhancement Program Prerequisite Programs – Generic Model

The prerequisite program generic model was developed by the Canadian food Inspection Agency (CFIA) for establishments to use as a template when developing prerequisite programs defined in the Food Safety Enhancement Program (FSEP) Manual, section 3.1. The frequencies and procedures used in this generic model are for illustration purposes only and shall not be considered as requirements in any way. Developing and implementing effective prerequisite programs remain the property and responsibility of the individual establishment. The generic model must be customized to reflect individual establishment environmental and operational conditions and comply with specific commodity policies, manuals, procedures and associated regulations.

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Glossary of terms

Prerequisite Program (PP) – Steps or procedures that control the operational conditions within a food establishment and promote environmental conditions that are favourable for the production of safe food. For examples, the equipment maintenance program describes the activities that must be performed to prevent deterioration of equipment which can lead to physical, biological or chemical hazards.

Task – Operational activities that are part of a prerequisite program and that are carried out by designated employees to prevent a food safety hazard. For example, the equipment maintenance program describes the tasks to be performed by the maintenance staff at a pre-determined frequency.

Monitoring - The act, by company personnel, of conducting a planned sequence of observations, tests or measurements to assess whether a prerequisite program is effectively implemented and that the standards are met.

In some instances, the assessment of the effectiveness of a prerequisite program may be based on the observation of the delivery of and records generated by another employee performing a task (for example, the equipment maintenance program is monitored at a pre-determined frequency to assess whether the program is effectively implemented as written by the maintenance staff). In other instances, the monitoring procedures may require the monitor to perform specific duties themselves, in order to assess if a standard is under control (for example, measurement of storage temperature at a pre-determined frequency). It is the responsibility of the establishment to determine and implement whichever method or combination of methods that will provide effective monitoring procedures for each prerequisite program.

Monitoring procedures - A documented set of procedures that are implemented to assess whether a prerequisite program is effectively implemented and that the standards are met. (See FSEP Manual 3.1.2)

Deviation – A failure to meet a standard identified in a prerequisite program.

Deviation procedure – A documented set of corrective actions that are implemented when monitoring results demonstrate that the programs, policies, standard operating procedures and tasks defined or referenced in the prerequisite programs are not effectively implemented and when the standards are not met. (See FSEP Manual 3.1.3)

Preventative measure – A corrective action resulting from an investigation to determine the root cause of a deviation. A preventative measure includes subsequent steps required to prevent reoccurrence of the deviation.

Reassessment - A review to determine if the prerequisite programs are complete, up to date, conform to regulatory requirements, conform to the requirements described in the FSEP Manual, are effective in meeting the standards and are implemented as written.

Standard - Criteria or specifications that can be judged or evaluated and that define the limit of acceptability associated with prerequisite programs. Standards must as a minimum meet the regulatory requirements applicable to the Establishment.

Prerequisite Programs – Generic Model

Establishment X - General Instructions

These general instructions apply to all prerequisite program bullets. They won't be repeated in the table for each prerequisite program bullet.

Record keeping instructions (as per FSEP Manual section 3.1.4)

- When applicable, actual quantifiable values (e.g. temperature) must be documented on records.
- Records must be up-to-date, legible, accurate and properly filed.
- Each monitoring record must be signed or initialed and dated by the employee making the entry using a permanent ink pen.
- Each action taken in response to a deviation must be signed or initialed and dated by the employee making the entry using a permanent ink pen.
- Any incorrect entry made to a record and subsequently changed shall be crossed out and initialed by the employee making the change.

Deviation procedures (as per FSEP Manual section 3.1.3)

When a deviation is observed during monitoring and reassessment activities, the responsible employees must perform and document the following activities.

- Describe the deviation and its cause.
- Take immediate actions to control affected or potentially affected product**.
- Implement corrective actions to restore control of the prerequisite program requirement(s).
- Verify the effectiveness of corrective actions taken.
- Evaluate the need to implement additional measures to prevent reoccurrence of the deviation***.
- Verify effectiveness of preventative measures if taken.

**When product is affected or potentially affected, the individual with authority must:

- record exact time of deviation and exact time when conformity is re-established,
- prevent the on-going production of non-compliant product,
- control the non-compliant product that has been produced,
- assess if other products are implicated in relation to the cause of the deviation,
- perform an assessment of the affected product to determine if the product may be released,
- determine the disposition of noncompliant product.

***Preventative measures shall be applied when:

- product is affected or potentially affected,
- repeated deviations are noted during monitoring activities which may indicate a trend toward a loss of control.

Records DEV01 must be completed.

Reassessment procedures for prerequisite programs (as per FSEP Manual section 3.4.2)

Each prerequisite program bullet, which includes all supporting programs, policies, procedures and documentation must be reassessed at the frequency described in the corresponding **Reassessment procedures** section of the table for each prerequisite program bullet. The reassessment activities include three (3) components.

Component #1

The reassessment activities include a written review of any programs, policies or procedures that have been developed and that are implemented to control the bullet requirement. The purpose of the written review is to ensure that all programs, policies or procedures:

- are complete,
- are up to date,
- conform to regulatory requirements, and
- conform to the requirements described in the FSEP Manual.

The written review must also include a review of the records used to document monitoring and deviation results to ensure that they are designed to provide all information required.

Component #2

The reassessment activities also include an on-site assessment of all prerequisite programs. The purpose of the on-site assessment is to ensure that the tasks, monitoring and deviation procedures are conducted according to the written program and that they are effective in meeting the standards.

The employee responsible for the reassessment will collect information by:

- observing procedures being implemented using the written program as a reference,
- inspecting (e.g. evaluating equipment cleaning, building maintenance, building construction, etc.),
- interviewing designated employees using the written program as a reference.

Component #3

The reassessment activities also include a review of the records documenting the tasks, the monitoring activities and the actions taken in response to a deviation. The purpose of the record review is to assess whether

- the records reflect the conditions observed during the on-site assessment,
- the procedures and controls in place are effective to meet the prerequisite program standards on a continuous basis,
- the record keeping instructions are followed.

A review of x% of all task records, x% of monitoring records and x% of all deviation records must be conducted.

Record REASS01 must be completed.

If deviations are encountered, follow General Instructions – Deviation Procedures. Record DEV01 must be completed.

Example of a monitoring record

Note: The standards used in this example are for illustration purposes only.

Building exterior monitoring record	Procedure : A.1.1.1	Revision date : January 19, 2011
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Write down « S » if the standard is found satisfactory and « U » if unsatisfactory. Fill in form DEV01 when the standard is found unsatisfactory (U).

Standards	S/U	Deviation observed	DEV01 #
Operations nearby are not emitting odours, visible fumes or other airborne contamination.			
No standing water on or near facility property.			
The property is free of debris and refuse.			
No equipment, pallets or construction material stored outside.			
Garbage is not accumulated on surrounding property.			
Gravel or paved perimeter around the facility with no ingrown weeds			
Grass is cut once a x.			
The outside shipping and receiving areas are paved or sealed.			
No excessive presence of dust around the shipping and receiving areas.			

Monitored by:	Date :
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Example of a monitoring record

Note: The standards used in this example are for illustration purposes only.

Lighting monitoring record	Procedure : A.2.2.1	Revision date : January 19, 2011
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Record measured values. Write down « S » if the standard is found satisfactory and « U » if unsatisfactory. Fill in form DEV01 when the standard is found unsatisfactory (U).

Standards	Measured values	S/U	DEV01 #
Processing room #1 (> or = 220 lux)			
Processing room #1 – Inspection sites (> or = 540 lux)			
Storage room #1 – (> or = 110 lux)			

Monitored by:	Date :
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Note: The monitoring record is designed so all inspection sites, workrooms and storage areas where measurement must be performed are identified as well as the specific lux requirements for each.

Example of a Deviation Form (DEV01)

Description of deviation

Deviation Form No.	
Completed by (name)	
Deviation identified	
Cause of the deviation	
Date and time of occurrence	
Where deviation occurred	
Other areas affected by the deviation	

a) Was food safety compromised? YES ___ NO ___ If yes, complete parts 1, 2 and 3. If no, answer question b)
 b) Is this the first time this deviation occurred? YES ___ NO ___ If yes, complete part 2. If no, complete part 2 and 3

Part 1 – Food safety assessment and action taken on product

Personnel responsible for part 1	
Describe food safety hazard	
Describe actions taken on product and any supporting records	
Describe affected or potentially affected product (Name, type, amount, weight, code, etc.)	
Describe assessment performed to demonstrate compliance of affected or potentially affected product and any supporting records.	
Describe assessment results and any supporting records	
If product is released, record date of release.	
If product is assessed as non-compliant, describe disposition and any supporting records. Record date of disposition.	

Part 2 – Action taken to restore control of the prerequisite program

Personnel responsible for part 2	
Describe corrective action(s) and any supporting records	
Verify by (name), date and time	
Satisfactory or Unsatisfactory	

Is there a need to implement additional corrective actions to prevent reoccurrence of the deviation?
 YES ___ NO ___ If yes, complete part 3. If no, the deviation report is closed.
 Complete part 3 if the result of the verification of effectiveness is unsatisfactory.

Part 3 – Preventative measure

Personnel responsible for part 3	
Describe root cause(s)	
Describe preventative measure(s) and any supporting records	
Target date for completion of preventative measure(s)	
Verify by (name) and date	
Satisfactory or unsatisfactory	

Example of a Reassessment Form (Reass01)

Activities conducted to reassess completeness and effectiveness of prerequisite programs (PP)

Completed by (name) and date	
Title and revision date of written program(s) reassessed	
The name and date of the records reviewed	
The name of individual interviewed and/or observed	
Rooms or areas inspected, when applicable	
Other	

Component #1 – Written Review

	N/A	YES	NO
The PP has complete written procedures as per FSEP bullet requirement (e.g. Sanitation program)			
Monitoring procedures are complete as per the FSEP Manual (3.1.2), are up to date and when applicable, meet CFIA program requirements.			
Deviation procedures are complete as per the FSEP Manual (3.1.3), are up to date and when applicable, meet CFIA program requirements.			
If additional procedures/policies are used to control this bullet they are referenced in the written prerequisite program.			
Additional procedures/policies that are referenced are up-to-date.			
The records are designed to provide all information required.			
Records are up-to date.			

Component #2 – On-site assessment

	YES	NO
The written program is implemented as described.		
The written program is still effective to maintain control of the standard.		
Relevant versions of applicable documents are available at point of use.		

Component #3 – Record Review

	YES	NO
The records reflect the conditions observed on-site.		
The records demonstrate that the written program is effective to maintain control of the standard on a continuous basis.		
The monitoring frequency is adhered to.		
The monitoring results are documented, including the recording of actual quantifiable values, when applicable.		
Each record is signed or initialled by the responsible employee using a permanent ink pen.		
Records are legible and accurate.		
Deviation procedures are implemented when standards are not met.		
All required information is documented on deviation records.		
The records are properly filed.		

Deviation noted

(A) Premises – A.1.1 Outside property – A.1.1.1

Building facility is located away from or protected against potential sources of external contaminants that may compromise the safety of food.

The surrounding/roadways are free of debris and refuse, adequately drained and maintained to minimize environmental hazards.

References to additional written programs, policies or procedures to control the FSEP requirement

List each work description as well as any relevant policies and/or procedures for employees performing the applicable tasks.

Monitoring procedures

Responsible: Position x

Frequency: Once a week

Monitoring standards

(Note: Each establishment must define their plant-specific standards for each of the identified FSEP requirements that are applicable to their operations. The establishment's standards must as a minimum meet the applicable regulatory standards.)

Operations nearby are not emitting odours, visible fumes or other airborne contamination.

No standing water on or near facility property.

The property is free of debris and refuse.

No equipment, pallets or construction material stored outside.

Garbage is not accumulated on surrounding property.

Gravel or paved perimeter around the facility with no ingrown weeds.

Grass is cut once a x.

The outside shipping and receiving areas are paved or sealed.

No [excessive] presence of dust around the shipping and receiving areas. [Define excessive]

Monitoring Instructions

Position x walks around the building exterior and perform a visual inspection to ensure that the standards are met.

Position x records results, signs and dates record x.

Deviation procedures:

Responsible: Position x

Instructions: Follow General Instructions – Deviation Procedures

Reassessment procedures

Responsible: HACCP leader

Frequency: April – August - October

Instructions: Follow General Instructions – Reassessment Procedures

Records

Record x, DEV01, Reass01

(A) Premises – A.2.1 Building design, construction and maintenance – A.2.1.1

The building is designed and constructed: see standards below

References to additional written programs, policies or procedures to control the FSEP requirement

List each work description as well as any relevant policies and/or procedures for employees performing the applicable tasks.

Monitoring procedures

Responsible: Position x

Frequency: New construction/modification

Monitoring standards

(Note: Each establishment must define their plant-specific standards for each of the identified FSEP requirements that are applicable to their operations. The establishment's standards must as a minimum meet the applicable regulatory standards.)

The building is designed and constructed:

- So its access is secure;
- So the roof, air intakes, foundation, walls, doors and windows prevent leakage and entry of contaminants and pests;
- To effectively separate incompatible operations;
- To provide hygienic operations by means of a regulated flow from point of entry to the premises to the final product;
- To effectively prevent cross-contamination due to employee traffic pattern, food product flow and equipment;
- So living quarters and areas where animals are kept are separated from and do not open directly into food processing or packaging areas;
- So incoming materials (food, non-food, packaging) are received in an area separate from food processing areas;
- So washrooms, lunchrooms and change rooms are separated from and do not open directly into food processing areas;
- So separate and adequate facilities are provided for:
 - the storage of waste and inedible products,
 - the cleaning and sanitizing of waste/inedible equipment,
 - the cleaning of equipment;
- To prevent cross-connection between:
 - the effluent of human wastes and production drainage wastes in the establishments,
 - potable water lines and non-potable water supply systems;
 - Non-potable re-circulated/reused/recycled water has a separate distribution system which is readily identifiable in the facility
- So the sewage and the waste effluent system do not pass directly over or through production unless they are controlled to prevent contamination;
- So drainage and sewage systems are equipped with functional traps and vents;
- So floors permit liquids to drain to trapped outlets;
- So floors, walls, doors, windows, ceilings, overheads and other structures in rooms or areas where food is manufactured, stored, packaged, received or shipped are cleanable, prevent contamination, prohibit deterioration, are suitable for the activities in each area and are free of any noxious constituents.

Note: It is industry's responsibility to add any other regulatory requirements that are applicable to their establishment.

Monitoring instructions

When blueprints are drafted, Position x reviews blueprints to ensure that the standards are met. Position x records results, signs and dates record x. During construction/modification, Position x ensures that the facility is constructed as per the approved blueprints. Position x records results, signs and dates record x.

Purchasing and receiving of construction material are covered under B.2.1.1 and B.2.1.3

Deviation procedures:

Responsible: Position x

Instructions: Follow General Instructions – Deviation Procedures

Reassessment procedures

Responsible: HACCP leader

Frequency: Once a year

Instructions: Follow General Instructions – Reassessment Procedures

Records

Blueprints, Record x, DEV01, Reass01

(A) Premises – A.2.1 Building design, construction and maintenance – A.2.1.2

The building is maintained so:

- The roof, air intakes, foundation, walls, doors and windows prevent leakage and entry of contaminants and pests;
- The drainage and sewage systems prevent backflow and pooling liquids on floors;
- Floors, walls, ceilings, overheads, doors, windows, stairs, elevators and other structures exhibit no evidence of degradation that would cause contamination and are cleanable.

References to additional written programs, policies or procedures to control the FSEP requirement

List each work description as well as any relevant policies and/or procedures for employees performing the applicable tasks.

For example: Building Maintenance Program

Monitoring procedures

Responsible: Position x

Frequency:

Building exterior: May, October

Building interior: Quarterly

Monitoring standards

(Note: Each establishment must define their plant-specific standards for each of the identified FSEP requirements that are applicable to their operations. The establishment's standards must as a minimum meet the applicable regulatory standards.)

- The roof is maintained in good repair and does not leak (No evidence of damage).
- No water on the roof.
- Air intake screens are tight fitted and maintained in good repair.
- Building foundation and walls are free from cracks and holes.
- Exterior doors are tight fitted and equipped with weather stripping.
- Windows are sealed. Windows that are equipped with close-fitting screen are maintained in good repair.
- Building interior floors, walls, ceilings, overheads, doors, windows, stairs, elevators and other structures exhibit no evidence of degradation that would cause contamination and are cleanable. [Describe expected conditions of floors, walls etc. e.g. No flaking or peeling rust or paint or loose material.]
- No pooling liquids or stagnant water on floors.
- All water flows toward a drain.
- Every drain line is equipped with effective rodent screens.

Monitoring instructions

Position x performs a visual inspection to ensure that the building exterior meets the above standards. Position x records results, signs and dates record x.

Position x performs a visual inspection to ensure that the building interior meets the above standards. Position x records results, signs and dates record x.

Deviation procedures

Responsible: Position x

Instructions: Follow General Instructions – Deviation Procedures

Reassessment procedures

Responsible: HACCP leader

Frequency: Once a x

Instructions: Follow General Instructions – Reassessment Procedures

Records

Record x, DEV01, Reass01

(A) Premises – A.2.2 Lighting – A.2.2.1

Lighting is appropriate such that food colour is not altered and the intended production or inspection activity can be effectively conducted.

References to additional written programs, policies or procedures to control the FSEP requirement

List each work description as well as any relevant policies and/or procedures for employees performing the applicable tasks.

Monitoring procedures

Responsible: Position x

Frequency: Once a x

Monitoring standards

(Note: Each establishment must define their plant-specific standards for each of the identified FSEP requirements that are applicable to their operations. The establishment's standards must as a minimum meet the applicable regulatory standards.)

- Lighting does not alter food colour. [Describe type of lighting.]
- The intensity of the illumination in all rooms of the establishment must not be less than 110 lux measured at 70 cm above the floor level or at the level at which the work is conducted with the following exceptions:
- all inspection sites measured at the lowest inspection point must be 540 lux
- all workrooms measured at the lowest working surface level must be 220 lux

Monitoring instructions

Position x tours the establishment and performs an inspection utilizing a calibrated light meter to ensure that the standards are met. Lighting intensity is measured at 70 cm above the floor level or at the level at which the work is conducted. Position x records results, signs and dates record x. [Note: record x is designed so all inspection sites, workrooms and storage areas where measurement must be performed are identified as well as the specific lux requirements for each.]

Purchasing of light bulbs that does not alter food colour for use in production areas is covered under B.2.1.1 and B.2.1.3

Deviation procedures

Responsible: Position x

Instructions: Follow General Instructions – Deviation Procedures

Reassessment procedures

Responsible: HACCP leader

Frequency: Once a x

Instructions: Follow General Instructions – Reassessment Procedures

Records

Record x, DEV01, Reass01

(A) Premises – A.2.2 Lighting – A.2.2.2

Light bulbs and fixtures located in areas where there is exposed food or packaging materials are of a safety type or are protected to prevent contamination of food in case of breakage.

References to additional written programs, policies or procedures to control the FSEP requirement

List each work description as well as any relevant policies and/or procedures for employees performing the applicable tasks.

Monitoring procedures

Responsible: Position x

Frequency: Once a x

Monitoring standards

(Note: Each establishment must define their plant-specific standards for each of the identified FSEP requirements that are applicable to their operations. The establishment's standards must as a minimum meet the applicable regulatory standards.)

Light bulbs and fixtures located in areas where there is exposed food or packaging materials are equipped with shatterproof bulbs or breakage shields.

Monitoring instructions

Position x tours the establishment and performs a visual inspection to ensure that the standards are met. Position X records results, signs and dates record x.

Deviation procedures

Responsible: Position x

Instructions: Follow General Instructions – Deviation Procedures

Reassessment procedures

Responsible: HACCP leader

Frequency: Once a x

Instructions: Follow General Instructions – Reassessment Procedures

Records

Record x, DEV01, Reass01

(A) Premises – A.2.3 Ventilation – A.2.3.1

Ventilation provides sufficient air exchanges to prevent unacceptable accumulations of steam, condensation or dust and to remove contaminated air.
Filters are cleaned or replaced as appropriate.

References to additional written programs, policies or procedures to control the FSEP requirement

List each work description as well as any relevant policies and/or procedures for employees performing the applicable tasks.
For example: Building Maintenance Program

Monitoring procedures

Responsible: Position x and QA*

Frequency: 1) Daily 2) Monthly

Monitoring standards

(Note: Each establishment must define their plant-specific standards for each of the identified FSEP requirements that are applicable to their operations. The establishment's standards must as a minimum meet the applicable regulatory standards.)

- 1) The ventilation system provides sufficient air exchange to:
 - prevent unacceptable accumulations of steam vapours
 - prevent condensation in production and storage areas
 - prevent dust accumulation
 - remove odour or contaminated air
 - control humidity, where necessary
- 2) Air filters are cleaned or replaced as per the Building Maintenance Program

Monitoring instructions

- 1) Position x tours the establishment and performs a visual/sensory inspection to ensure that the standards are met. Position x records results, signs and dates record x. *QA reviews, signs and dates all monitoring results. (This is optional, some establishments may want the QA to review all monitoring results at the end of the production day to ensure that the standards were met, and if appropriate, effective corrective actions were taken.)
- 2) Position x ensures that air filters are cleaned or replaced as per the Building Maintenance Program. [Explain how Position x does that.]

Deviation procedures

Responsible: Position x and QA*

Instructions: Follow General Instructions – Deviation Procedures

Reassessment procedures

Responsible: HACCP leader

Frequency: Once a x

Instructions: Follow General Instructions – Reassessment Procedures

Records

Record x, DEV01, Reass01

(A) Premises – A.2.3 Ventilation – A.2.3.2

Ventilation systems ensure that air does not flow from the most contaminated areas to the least contaminated areas.

References to additional written programs, policies or procedures to control the FSEP requirement

List each work description as well as any relevant policies and/or procedures for employees performing the applicable tasks.

Monitoring procedures

Responsible: Position x

Frequency: Once a x

Monitoring standards

(Note: Each establishment must define their plant-specific standards for each of the identified FSEP requirements that are applicable to their operations. The establishment's standards must as a minimum meet the applicable regulatory standards.)

The flows of air or neutral air flows (air does not flow in either direction) indicated on the interior building air flow plan must be maintained at all time.

Air does not flow from the most contaminated areas to the least contaminated areas to.

Monitoring instructions

Position x performs an air flow test in each area where positive air pressure and neutral air flow must be maintained. [Describe how the monitor performs the test to ensure that the standards are met.] The interior building air flow plan is utilized and a check for accuracy is made.

Position x records results, signs and dates record x.

Deviation procedures

Responsible: Position x

Instructions: Follow General Instructions – Deviation Procedures

Reassessment procedures

Responsible: HACCP leader

Frequency: Once a x

Instructions: Follow General Instructions – Reassessment Procedures

Records

Interior building air flow plan, Record x, DEV01, Reass01

(A) Premises – A.2.3 Ventilation – A.2.3.3

Where required, ambient air, compressed air or gases utilized in processing equipment that contact product or packaging are appropriately sourced and treated to minimize contamination of product and packaging.

References to additional written programs, policies or procedures to control the FSEP requirement

List each work description as well as any relevant policies and/or procedures for employees performing the applicable tasks.

Monitoring procedures

Responsible: Position x

Frequency: Once a x

Monitoring standards

(Note: Each establishment must define their plant-specific standards for each of the identified FSEP requirements that are applicable to their operations. The establishment's standards must as a minimum meet the applicable regulatory standards.)

[description of air/gaz utilized] [description of equipment] [description of source] [description of treatment]

Monitoring instructions

Position x ensures that the standards are met by [explain how]

Position x records results, signs and dates record x.

Deviation procedures

Responsible: Position x

Instructions: Follow General Instructions – Deviation Procedures

Reassessment procedures

Responsible: HACCP leader

Frequency: Once a x

Instructions: Follow General Instructions – Reassessment Procedures

Records

Record x, DEV01, Reass01

(A) Premises – A.2.4 Waste and inedible/Food waste disposal – A.2.4.1

The establishment has and implements documented procedures to control the hazards associated with waste and inedible/food waste products. The procedures shall include but are not limited to:

- An identification system for utensils and containers used for collection and holding of waste and inedible/food waste materials;
- The frequency of removal of waste during operations;
- If applicable, the frequency of removal of inedible/food waste products during operations;
- If applicable, procedures for storage of waste and inedible/food waste products;
- If applicable (see regulatory requirement for the commodity), a denaturing protocol, including methods and chemical(s) used for denaturing inedible/food waste products;
- The frequency of removal of waste from the establishment;
- If applicable, the frequency of removal of inedible/food waste product from the establishment;
- Procedures for maintenance of waste/inedible/food waste equipment (Equipment must be leak proof and where appropriate, covered).

References to additional written programs, policies or procedures to control the FSEP requirement

Waste/Inedible/Food Waste Management Procedures (must include all requirements defined above)

Monitoring procedures

Responsible: Position x

Frequency: Once a x

Monitoring standards

(Note: Each establishment must define their plant-specific standards for each of the identified FSEP requirements that are applicable to their operations. The establishment's standards must as a minimum meet the applicable regulatory standards.)

Standards are defined in the Waste/Inedible/Food Waste Management Procedures.

The Waste/Inedible/Food Waste Management Procedures are implemented as written.

Monitoring instructions

Position x tours the establishment and performs a visual inspection to ensure that the Waste/Inedible/Food Waste Management Procedures are implemented as written and are effective.

Position x records results, signs and dates record x.

Deviation procedures

Responsible: Position x

Instructions: Follow General Instructions – Deviation Procedures

Reassessment procedures

Responsible: HACCP leader

Frequency: Once a x

Instructions: Follow General Instructions – Reassessment Procedures

Records

Record x, DEV01, Reass01

(A) Premises – A.3.1 Employees facilities – A.3.1.1

Washrooms have hot and cold or warm potable running water, soap dispensers, soap, sanitary hand drying equipment or supplies and cleanable waste receptacles.
Hand washing notices are posted in appropriate areas.

References to additional written programs, policies or procedures to control the FSEP requirement

List each work description as well as any relevant policies and/or procedures for employees performing the applicable tasks.
For example: Work descriptions of employees responsible for the washroom maintenance

Monitoring procedures

Responsible: Position x

Frequency: Once a x

(Note: Each establishment must define their plant-specific standards for each of the identified FSEP requirements that are applicable to their operations. The establishment's standards must as a minimum meet the applicable regulatory standards.)

Monitoring standards

Washrooms:

- Have hot and cold or warm potable running water
- Have soap dispensers with soap
- Have sanitary hand drying equipment or supplies
- Have cleanable waste receptacles
- Have hand washing notices posted in appropriate areas

Monitoring instructions

Position x performs a visual/sensory inspection of each washroom to ensure that the standards are met.
Position x records results, signs and dates record x.

Deviation procedures

Responsible: Position x

Instructions: Follow General Instructions – Deviation Procedures

Reassessment procedures

Responsible: HACCP leader

Frequency: Once a x

Instructions: Follow General Instructions – Reassessment Procedures

Records

Record x, DEV01, Reass01

(A) Premises – A.3.1 Employees facilities – A.3.1.2

As required, washrooms, lunchrooms and change rooms are provided with adequate floor drainage and ventilation. They are maintained in a manner to prevent contamination.

References to additional written programs, policies or procedures to control the FSEP requirement

List each work description as well as any relevant policies and/or procedures for employees performing the applicable tasks.

Monitoring procedures

Responsible: Position x

Frequency: Once a x

Monitoring standards

(Note: Each establishment must define their plant-specific standards for each of the identified FSEP requirements that are applicable to their operations. The establishment's standards must as a minimum meet the applicable regulatory standards.)

Washrooms, lunchrooms and change rooms

- Have adequate ventilation
- Are maintained in a manner to prevent contamination
- Are cleaned
- Have no liquid pooling on floor [When applicable, identify which washrooms, lunchrooms or change rooms have floor drainage]

Monitoring instructions

Position x performs a visual/sensory inspection of each washroom, lunchroom and change room to ensure that the standards are met.

Position x records results, signs and dates record x.

Deviation procedures

Responsible: Position x

Instructions: Follow General Instructions – Deviation Procedures

Reassessment procedures

Responsible: HACCP leader

Frequency: Once a x

Instructions: Follow General Instructions – Reassessment Procedures

Records

Record x, DEV01, Reass01

(A) Premises – A.3.2 Hand-washing and sanitizing installations – A.3.2.1

Where required or appropriate, areas of the establishment are provided with an adequate number of conveniently located hands free hand-washing stations with trapped waste pipes to drains.

Hand-washing stations are properly maintained and are provided with hot and cold or warm potable running water, soap dispensers, soap, sanitary hand drying equipment or supplies and cleanable waste receptacles.
Hand-washing notices are posted in appropriate areas.

References to additional written programs, policies or procedures to control the FSEP requirement

List each work description as well as any relevant policies and/or procedures for employees performing the applicable tasks.

Monitoring procedures

Responsible: Position x

Frequency: 1) New construction/modification and 2) once a x

Monitoring standards

(Note: Each establishment must define their plant-specific standards for each of the identified FSEP requirements that are applicable to their operations. The establishment's standards must as a minimum meet the applicable regulatory standards.)

- 1) [Describe areas of the establishment] are provided with an adequate number of conveniently located hands free hand-washing stations with trapped waste pipes to drains for the number of personnel and the activities performed. [Identify number of hand washing stations vs number of personnel and activities performed]
- 2) Hands free hand-washing stations
 - Are functioning
 - Are properly maintained [Description of expected conditions of hand washing stations]
 - Are not used for any purpose other than hand washing
 - Are provided with hot and cold or warm potable running water, soap dispensers, soap, sanitary hand drying equipment or supplies and cleanable waste receptacles.
 - Have hand-washing notices posted

Monitoring instructions

1) When blueprints are drafted, Position x reviews blueprints to ensure that the standards are met. Position x records results, signs and dates record x. During construction/modification, Position x ensures that the hand washing stations are constructed and installed as per the approved blueprints. Position x records results, signs and dates record x.

2) Position x tours the establishment and performs a visual/sensory inspection at each hand washing station to ensure that the standards are met. Position x records results, signs and dates record x.

Deviation procedures

Responsible: Position x

Instructions: Follow General Instructions – Deviation Procedures

Reassessment procedures

Responsible: HACCP leader

Frequency: Once a x

Instructions: Follow General Instructions – Reassessment Procedures

Records

Blueprint, Record x, DEV01, Reass01

(A) Premises – A.3.2 Hand-washing and sanitizing installations – A.3.2.2

Where required/appropriate, areas of the establishment are provided with sanitizing installations, such as:

- Sanitizing installations for hands
- Sanitizing installations for boots
- Sanitizer for operational equipment

Sanitizing installations are properly maintained and are provided with potable water at temperatures and, where applicable, chemical concentrations appropriate for their intended use.

References to additional written programs, policies or procedures to control the FSEP requirement

List each work description as well as any relevant policies and/or procedures for employees performing the applicable tasks.

Monitoring procedures

Responsible: Position x

Frequency: 1) New construction/modification and 2) once a x

Monitoring standards

(Note: Each establishment must define their plant-specific standards for each of the identified FSEP requirements that are applicable to their operations. The establishment's standards must as a minimum meet the applicable regulatory standards.)

- 1) [Describe areas of the establishment] are provided with sanitizing installations. [Describe sanitizing installations in place]
- 2) Sanitizing installations [describe sanitizing installations in place]
 - Are properly maintained [Description of expected conditions of sanitizing installations]
 - (if applicable) Are provided with potable water at [Specify temperatures]
 - (if applicable) Are provided with chemical that have been correctly mixed at [Specify chemical concentration]

Monitoring instructions

1) When blueprints are drafted, Position x reviews blueprints to ensure that the standards are met. Position x records results, signs and dates record x. During construction/modification, Position x ensures that the sanitizing installations are installed as per the approved blueprints. Position x records results, signs and dates record x.

2) Position x tours the establishment and [describe how they ensure that the standards are met]. Position x records results, signs and dates record x.

Deviation procedures

Responsible: Position x

Instructions: Follow General Instructions – Deviation Procedures

Reassessment procedures

Responsible: HACCP leader

Frequency: Once a x

Instructions: Follow General Instructions – Reassessment Procedures

Records

Blueprint, Record x, DEV01, Reass01

(A) Premises – A.4.1 Water/Ice/Steam quality, protection and supply – A.4.1.1

The establishment has and implements documented water safety procedures to ensure that water and ice meet the potability requirements of the appropriate regulatory authority.

The water safety procedures shall include but are not limited to:

- Name or title of personnel responsible for the implementation of the water safety procedures;
- Identification of the source of water supply (municipality, private well(s), storage tank(s), etc);
- Water sampling and testing schedule(s);
- Identification of the sampling site(s);
- Water and ice sampling procedures;
- Description of testing activities to be performed;
- Water potability criteria;
- Documentation requirements (records should include the water source(s), sampling site(s), analytical results, analyst and date of sample(s));
- Deviation procedures when water testing results indicate water potability criteria have not been met;
- Deviation procedures to be applied at the establishment in instances where the municipality identifies a failure with the water system;
- Record(s) to be kept.

References to additional written programs, policies or procedures to control the FSEP requirement

Water Safety Procedures (must include all requirements defined above)

Monitoring procedures

Responsible: Position x

Frequency: Once a x

(Note: Each establishment must define their plant-specific standards for each of the identified FSEP requirements that are applicable to their operations. The establishment's standards must as a minimum meet the applicable regulatory standards.)

Monitoring standards

Standards are defined in the Water Safety Procedures.

The Water Safety Procedures are implemented as written.

Monitoring instructions

Position x ensures that the Water Safety Procedures are implemented as written and are effective by performing an on-site assessment which includes observing procedures being implemented using the written procedures as a reference, interviewing designated employees and reviewing each Analytical result and associated deviation records. Record x must be completed upon on-site assessment, dated and initialled. Position x initials and dates each analytical result and any deviation records that have been reviewed.

Deviation procedures

Responsible: Position x

Instructions: Follow General Instructions – Deviation Procedures

Reassessment procedures

Responsible: HACCP leader

Frequency: Once a x

Instructions: Follow General Instructions – Reassessment Procedures

Records

Analytical results, Record x, DEV01, Reass01

(A) Premises – A.4.1 Water/Ice/Steam quality, protection and supply – A.4.1.2

Where applicable, the establishment has and implements documented water treatment procedures to ensure that:

- Boiler feed water treatment or any chemically treated water (e.g., corrosion inhibitors, water conditioning and chlorination) that has direct product impact or is used on product contact surfaces meets the appropriate regulatory requirement and is potable;
- Re-circulated water for reuse meets the appropriate regulatory requirement.

The water treatment procedures shall include but are not limited to:

- Name or title of personnel responsible for the implementation of the water treatment procedures;
- Identification of water treatment activities to be performed;
- Water treatment method/frequency;
- Chemicals used;
- Proper handling and application of water treatment chemicals;
- Acceptable chemical concentrations;
- If applicable, description of any automatic warning control;
- Testing procedure, including testing frequency, to ensure proper concentration is consistently met;
- Documentation requirements (records should include method of treatment, sample site, analytical result, analyst and date);
- Deviation procedure when the criteria have not been met;
- Record(s) to be kept.

References to additional written programs, policies or procedures to control the FSEP requirement

Water Treatment Procedures (must include all requirements defined above)

Monitoring procedures

Responsible: Position x

Frequency: Once a x

(Note: Each establishment must define their plant-specific standards for each of the identified FSEP requirements that are applicable to their operations. The establishment's standards must as a minimum meet the applicable regulatory standards.)

Monitoring standards

Standards are defined in the Water Treatment Procedures.

The Water Treatment Procedures are implemented as described.

Monitoring instructions

Position x ensures that the Water Treatment Procedures are implemented as written and are effective by performing an on-site assessment which includes observing procedures being implemented using the written procedures as a reference, interviewing designated employees and reviewing each treated water testing result and associated deviation records. Record x must be completed upon on-site assessment, dated and initialled. Position x initials and dates each treated water testing result and any deviation records that have been reviewed.

Deviation procedures

Responsible: Position x

Instructions: Follow General Instructions – Deviation Procedures

Reassessment procedures

Responsible: HACCP leader

Frequency: Once a x

Instructions: Follow General Instructions – Reassessment Procedures

Records

Water treatment testing record, Record x, DEV01, Reass01

(A) Premises – A.4.1 Water/Ice/Steam quality, protection and supply – A.4.1.3

Where required, hoses, taps or other similar sources of possible contamination are designed to prevent back-flow or back siphonage.

References to additional written programs, policies or procedures to control the FSEP requirement

List each work description as well as any relevant policies and/or procedures for employees performing the applicable tasks.

Monitoring procedures

Responsible: Position x

Frequency: once a x

Monitoring standards

(Note: Each establishment must define their plant-specific standards for each of the identified FSEP requirements that are applicable to their operations. The establishment's standards must as a minimum meet the applicable regulatory standards.)

[Description of hoses and/or taps used in the facility which may result in back flow or back siphonage. If any, describe how they are designed or utilized to prevent back-flow or back siphonage.]

Monitoring instructions

Position x tours the establishment and [describe how they ensure that the standards are met]. Position x records results, signs and dates record x.

Deviation procedures

Responsible: Position x

Instructions: Follow General Instructions – Deviation Procedures

Reassessment procedures

Responsible: HACCP leader

Frequency: Once a x

Instructions: Follow General Instructions – Reassessment Procedures

Records

Record x, DEV01, Reass01

(A) Premises – A.4.1 Water/Ice/Steam quality, protection and supply – A.4.1.4

Where filters are used they are kept effective and maintained in a sanitary manner.

References to additional written programs, policies or procedures to control the FSEP requirement

List each work description as well as any relevant policies and/or procedures for employees performing the applicable tasks.

Monitoring procedures

Responsible: Position x

Frequency: once a x

Monitoring standards

(Note: Each establishment must define their plant-specific standards for each of the identified FSEP requirements that are applicable to their operations. The establishment's standards must as a minimum meet the applicable regulatory standards.)

[Description and location of water filters used in the facility. If any, describe standards to address condition of filter]

Monitoring instructions

Position x tours the establishment and [describe how they ensure that the standards are met]. Position x records results, signs and dates record x.

Deviation procedures

Responsible: Position x

Instructions: Follow General Instructions – Deviation Procedures

Reassessment procedures

Responsible: HACCP leader

Frequency: Once a x

Instructions: Follow General Instructions – Reassessment Procedures

Records

Record x, DEV01, Reass01

(A) Premises – A.4.1 Water/Ice/Steam quality, protection and supply – A.4.1.5

The volume, temperature and pressure of the potable water/steam are adequate for all operational and cleanup demands.

References to additional written programs, policies or procedures to control the FSEP requirement

List each work description as well as any relevant policies and/or procedures for employees performing the applicable tasks.

Monitoring procedures

Responsible: Position x

Frequency: once a x

Monitoring standards

(Note: Each establishment must define their plant-specific standards for each of the identified FSEP requirements that are applicable to their operations. The establishment's standards must as a minimum meet the applicable regulatory standards.)

[Description of the volume, temperature and pressure needs of the establishment for steam and water used during processing and sanitation]

Monitoring instructions

Position x ensure that the standards are met by [describe how they ensure that the standards are met]. Position x records results, signs and dates record x.

Deviation procedures

Responsible: Position x

Instructions: Follow General Instructions – Deviation Procedures

Reassessment procedures

Responsible: HACCP leader

Frequency: Once a x

Instructions: Follow General Instructions – Reassessment Procedures

Records

Record x, DEV01, Reass01

(A) Premises – A.4.1 Water/Ice/Steam quality, protection and supply – A.4.1.6

Where it is necessary to store water or ice, storage facilities are adequately designed, constructed, and maintained to prevent contamination.

References to additional written programs, policies or procedures to control the FSEP requirement

List each work description as well as any relevant policies and/or procedures for employees performing the applicable tasks.

Monitoring procedures

Responsible: Position x

Frequency: 1) New construction/modification/New water/ice storage tank, 2) once a x

Monitoring standards

(Note: Each establishment must define their plant-specific standards for each of the identified FSEP requirements that are applicable to their operations. The establishment's standards must as a minimum meet the applicable regulatory standards.)

- 1) Water and ice storage facilities/tanks are cleanable, prevent contamination, prohibit deterioration and are free of any noxious constituents.
- 2) Water and ice storage facilities/tanks are properly maintained. [Description of expected conditions of storage facilities/tanks]

Monitoring instructions

- 1) When blueprints are drafted, Position x reviews blueprints to ensure that ice storage facilities meet the standards. Position x records results, signs and dates record x. During construction/modification, Position x ensures that the ice storage facilities are constructed as per the approved blueprints. Position x records results, signs and dates record x. Purchasing and receiving of water or ice storage tanks are covered under C.1.1.1.
- 2) Once a x, Position x ensures that the water and ice storage facilities are properly maintained by [describe how they ensure that the standards are met]. Position x records results, signs and dates record x.

Deviation procedures

Responsible: Position x

Instructions: Follow General Instructions – Deviation Procedures

Reassessment procedures

Responsible: HACCP leader

Frequency: Once a x

Instructions: Follow General Instructions – Reassessment Procedures

Records

Blueprint, Record x, DEV01, Reass01

(B) Transportation, Purchasing/Receiving/Shipping – B.1.1 Food carriers – B.1.1.1

Carriers used for transport of food:

- Are designed, constructed, maintained and cleaned to prevent contamination, damage and deterioration of the food product;
- Are equipped, where applicable, to maintain food products in a refrigerated or frozen state;
- Are not being used for the transport of any material or substance that might adulterate the food product.

References to additional written programs, policies or procedures to control the FSEP requirement

List each work description as well as any relevant policies and/or procedures for employees performing the applicable tasks.

Monitoring procedures

Responsible: Position x and QA*

Frequency: On receipt and prior to loading

Monitoring standards

(Note: Each establishment must define their plant-specific standards for each of the identified FSEP requirements that are applicable to their operations. The establishment's standards must as a minimum meet the applicable regulatory standards.)

- [Description of expected conditions of carriers e.g. No foul odours, condensation, mould, rust, flaking paint, or damaged floors, walls or ceiling].
- Carriers are clean [Description of expected conditions of carriers].
- When tankers are used, cleaning certificate or appropriate record is provided before loading or unloading commences.
- Frozen products are transported at temperatures that do not permit thawing [Identify temperature standards].
- Products requiring refrigeration are transported at [Identify temperature standards].
- Containers and conveyance vehicles are not being used for the transport of any material or substance that might adulterate the food product. [For example: chemicals should not be on the same transport vehicle as food, ingredients, processing aids, packaging material].
- Where necessary, containers and conveyance vehicles permit effective separation of incompatible foods or products [Describe how incompatible foods or products must be separated during transportation. For example: allergens must not be stacked on top of food, ingredients, processing aid or packaging material. Returned product must be clearly marked and separated on the transport.]

Monitoring instructions

Position x inspects each carrier to ensure that on receipt and prior to loading they meet the standards [describe how they ensure that all standards are met, e.g. how do they check that the temperature is met]. Position x records results, signs and dates record x.

*QA reviews, signs and dates all monitoring results. (This is optional, some establishments may want the QA to review all monitoring results at the end of the production day to ensure that the standards were met, and if appropriate, effective corrective actions were taken.)

Deviation procedures

Responsible: Position x and *QA

Instructions: Follow General Instructions – Deviation Procedures

Reassessment procedures

Responsible: HACCP leader

Frequency: Once a x

Instructions: Follow General Instructions – Reassessment Procedures

Records

Record x, DEV01, Reass01

(B) Transportation, Purchasing/Receiving/Shipping – B.1.1 Food carriers – B.1.1.2

Carriers are loaded, arranged and unloaded in a manner that:

- Prevents outside contaminants from entering the establishment;
- Prevents damage and contamination of the finished product, ingredients and incoming materials that come in contact with the product or are used in preparing the product.

References to additional written programs, policies or procedures to control the FSEP requirement

List each work description as well as any relevant policies and/or procedures for employees performing the applicable tasks.
For example: Product handling procedures that receivers and shippers must adhere to

Monitoring procedures

Responsible: Position x

Frequency: Once a x

Monitoring standards

(Note: Each establishment must define their plant-specific standards for each of the identified FSEP requirements that are applicable to their operations. The establishment's standards must as a minimum meet the applicable regulatory standards.)

[Describe how carriers/containers/bulk tanks are to be loaded and unloaded by receivers and shippers or make a reference to written procedures. Standards must describe specific product handling procedures that receivers and shippers must follow to prevent damage to incoming food and material and finished product.]

The loading/unloading procedures are implemented as described.

Monitoring instructions

Position x ensures that the loading/unloading procedures are implemented as written and are effective by performing an on-site assessment which includes observing procedures being implemented using the written procedures as a reference and interviewing designated employees.

Position x records results, signs and dates record x.

Deviation procedures

Responsible: Position x

Instructions: Follow General Instructions – Deviation Procedures

Reassessment procedures

Responsible: HACCP leader

Frequency: Once a x

Instructions: Follow General Instructions – Reassessment Procedures

Records

Record x, DEV01, Reass01

(B) Transportation, Purchasing/Receiving/Shipping – B.2.1 Purchasing/Receiving/Shipping – B.2.1.1

The establishment has and implements documented purchasing procedures to ensure that:

- Ingredients are ordered from suppliers/sources approved by the establishment;
- The required information on ingredients is maintained on file (e.g., specifications, letters of guarantee, certificate of analysis);
- Construction materials, packaging materials and non-food chemical products are listed in CFIA's *Reference Listing of Accepted Construction Materials, Packaging Materials and Non-Food Chemical Products* *. Otherwise, the manufacturer has a letter of no objection from Health Canada.

References to additional written programs, policies or procedures to control the FSEP requirement

Purchasing Procedures (must include all requirements defined above)

Monitoring procedures

Responsible: Position x

Frequency: Once a x

Monitoring standards

(Note: Each establishment must define their plant-specific standards for each of the identified FSEP requirements that are applicable to their operations. The establishment's standards must as a minimum meet the applicable regulatory standards.)

The purchasing procedures are implemented as written.

The purchasing file includes:

- The list of approved ingredient suppliers/sources.
- The list of suppliers of light bulbs that do not alter food colour (ref.A.2.2.1).
- Ingredient specifications, letters of guarantee and certificate of analysis which are renewed at least yearly.
- Letters of no objection from Health Canada when necessary.

Monitoring instructions

Position x ensures that the purchasing procedures are implemented as written and are effective by interviewing designated employees and ensuring that the purchasing documentation file is complete. Record x must be completed upon assessment, dated and initialled.

Deviation procedures

Responsible: Position x

Instructions: Follow General Instructions – Deviation Procedures

Reassessment procedures

Responsible: HACCP leader

Frequency: Once a x

Instructions: Follow General Instructions – Reassessment Procedures

Records

Record x, DEV01, Reass01

(B) Transportation, Purchasing/Receiving/Shipping – B.2.1 Purchasing/Receiving/Shipping – B.2.1.2

Returned, defective or suspect product is clearly identified and isolated in a designated storage area, where it is assessed to determine the appropriate disposition.

References to additional written programs, policies or procedures to control the FSEP requirement

List each work description as well as any relevant policies and/or procedures for employees performing the applicable tasks. For example: Operational procedures for identification, handling, storage and disposition of returned/defective/suspect products

Monitoring procedures

Responsible: Position x

Frequency: Once a x

Monitoring standards

(Note: Each establishment must define their plant-specific standards for each of the identified FSEP requirements that are applicable to their operations. The establishment's standards must as a minimum meet the applicable regulatory standards.)

The operational procedures for identification, storage and disposition of returned/defective/suspect products are implemented as written.

Returned, defective or suspect product:

- is clearly identified [Describe how it is identified],
- is isolated in a designated storage area, [Identify location of designated area],
- is assessed to determine the appropriate disposition. Assessment results and disposition are documented on record z.

Monitoring instructions

Position x performs a visual inspection of the storage areas to ensure that the standards are met.

Position x ensures that returned, defective or suspect product is identified, stored, assessed and dispositioned as per the written procedures by performing an on-site assessment which includes observing procedures being implemented, interviewing designated employees and reviewing each record z. Record x must be completed upon on-site assessment, dated and initialled. All records that have been reviewed must be initialled and dated.

Deviation procedures

Responsible: Position x

Instructions: Follow General Instructions – Deviation Procedures

Reassessment procedures

Responsible: HACCP leader

Frequency: Once a x

Instructions: Follow General Instructions – Reassessment Procedures

Records

Record z, Record x, DEV01, Reass01

(B) Transportation, Purchasing/Receiving/Shipping – B.2.1 Purchasing/Receiving/Shipping – B.2.1.3

Where applicable, receiving of live animals is controlled as per regulatory requirements.

Only approved and properly labelled/identified ingredients, products and materials are received into the establishment.

Incoming ingredients, products and materials are assessed at receiving to ensure that their conditions are satisfactory and that the purchasing specifications have been met.

References to additional written programs, policies or procedures to control the FSEP requirement

List each work description as well as any relevant policies and/or procedures for employees performing the applicable tasks.

Monitoring procedures

Responsible: Position x and QA*

Frequency: Each receiving

Monitoring standards

(Note: Each establishment must define their plant-specific standards for each of the identified FSEP requirements that are applicable to their operations. The establishment's standards must as a minimum meet the applicable regulatory standards.)

- [Describe regulatory requirements associated with receiving of live animals, when this bullet is applicable]
- Only approved ingredients and materials (construction materials, packaging materials and non-food chemical products) are received into the establishment.
- [Identify the specifications by which the acceptability of incoming materials received will be determined (e.g. temperature, condition of product/packaging, certificate of analysis, letter of guarantee)]

Monitoring instructions

- [Describe controls to be applied when live animals are received]
- [Describe how Position x determines that the incoming ingredients and materials come from approved suppliers and/or are approved ingredients and materials. For example: Position x ensures that only approved ingredients and materials are received into the establishment by comparing bill of lading and purchasing specifications. When approved ingredients and materials are received, Position x signs and dates the bill of lading and keeps a copy on file. When ingredients or materials are not approved, they are refused.]
- Position x performs a visual/sensory inspection and a review of any certificate of analysis, if required, to ensure that the specifications (e.g. temperature, condition of product/packaging, acceptable analysis criteria) are met. [Describe how the inspection is done]. Position x records results, signs and dates record x.

*QA reviews, signs and dates all monitoring results. (This is optional, some establishments may want the QA to review all monitoring results at the end of the production day to ensure that the standards were met, and if appropriate, effective corrective actions were taken.)

Deviation procedures

Responsible: Position x and *QA

Instructions: Follow General Instructions – Deviation Procedures

Reassessment procedures

Responsible: HACCP leader

Frequency: Once a x

Instructions: Follow General Instructions – Reassessment Procedures

Records

Record x, DEV01, Reass01

(B) Transportation, Purchasing/Receiving/Shipping – B.2.1 Purchasing/Receiving/Shipping – B.2.1.4

All food safety specifications or requirements of the finished product have been met prior to shipping to retail/the customer.

Finished product is adequately protected against intentional or unintentional contamination and deterioration prior to shipping.

References to additional written programs, policies or procedures to control the FSEP requirement

List each work description as well as any relevant policies and/or procedures for employees performing the applicable tasks. For example: Procedures for shipping of finished products prior receiving of testing results

Monitoring procedures

Responsible: Position x and QA*

Frequency: Each shipment

Monitoring standards

(Note: Each establishment must define their plant-specific standards for each of the identified FSEP requirements that are applicable to their operations. The establishment's standards must as a minimum meet the applicable regulatory standards.)

[Describe finished product standards that have to be met prior to shipping]

For example

- Temperature [define temperature]
- Laboratory results needed prior to shipping
- Procedures in place where tested finished product is shipped pending receipt of laboratory results
- Shipping boxes/container conditions [Define conditions e.g. no broken, wet, dirty boxes, boxes are sealed, etc]
- Bulk product packaging conditions [Define conditions]
- Unmarked meat products must be shipped to a registered establishment in a bulk or transport container sealed with an official seal. Completed form CFIA/ACIA 1452 must accompany the shipment.
- Etc.

Monitoring instructions

Position x ensures that the standards are met prior to shipping. [Describe how the assessment is done]. Position x records results, signs and dates record x.

*QA reviews, signs and dates all monitoring results. (This is optional, some establishments may want the QA to review all monitoring results at the end of the production day to ensure that the standards were met, and if appropriate, effective corrective actions were taken.)

Deviation procedures

Responsible: Position x and *QA

Instructions: Follow General Instructions – Deviation Procedures

Reassessment procedures

Responsible: HACCP leader

Frequency: Once a x

Instructions: Follow General Instructions – Reassessment Procedures

Records

Record x, DEV01, Reass01

(B) Transportation, Purchasing/Receiving/Shipping – B.2.2 Storage – B.2.2.1

Temperatures of storage areas, processing areas, coolers and freezers meet regulated and/or acceptable temperatures.

References to additional written programs, policies or procedures to control the FSEP requirement

List each work description as well as any relevant policies and/or procedures for employees performing the applicable tasks.

Monitoring procedures

Responsible: Position x and QA*

Frequency: Daily

Monitoring standards

(Note: Each establishment must define their plant-specific standards for each of the identified FSEP requirements that are applicable to their operations. The establishment's standards must as a minimum meet the applicable regulatory standards.)

[Identify the number of coolers, freezers, processing areas and storage areas, where they are located (plant schematic) and the temperature standard for each.]

Monitoring instructions

Position x ensures that the standards are met by [Describe how the assessment is done] at the warmest area of each room. Position x records results, signs and dates record x.

*QA reviews, signs and dates all monitoring results. (This is optional, some establishments may want the QA to review all monitoring results at the end of the production day to ensure that the standards were met, and if appropriate, effective corrective actions were taken.)

Deviation procedures

Responsible: Position x and *QA

Instructions: Follow General Instructions – Deviation Procedures

Reassessment procedures

Responsible: HACCP leader

Frequency: Once a x

Instructions: Follow General Instructions – Reassessment Procedures

Records

Plant schematic, Record x, DEV01, Reass01

(B) Transportation, Purchasing/Receiving/Shipping – B.2.2 Storage – B.2.2.2

Ingredients, finished products and packaging materials are handled and stored in a manner to prevent damage, deterioration and contamination.

When processing room temperatures could allow for increase in product temperatures above regulatory requirements, ingredients and finished products are monitored to ensure the prevention of temperature abuse.

Where appropriate, rotation is controlled to prevent deterioration.

References to additional written programs, policies or procedures to control the FSEP requirement

List each work description as well as any relevant policies and/or procedures for employees performing the applicable tasks.

Monitoring procedures

Responsible: Position x

Frequency: Once a x

Monitoring standards

(Note: Each establishment must define their plant-specific standards for each of the identified FSEP requirements that are applicable to their operations. The establishment's standards must as a minimum meet the applicable regulatory standards.)

[Describe conditions necessary for storage of ingredients, finished products and packaging material to prevent damage, deterioration and contamination]

[Describe specific handlings of ingredients, finished product and packaging material to prevent damage and contamination]

[When applicable, describe how long ingredients and finished product are allowed to stay in processing rooms to prevent temperature abuse.]

[Describe how rotation is controlled]

Monitoring instructions

Position x ensures that the standards are met by [Describe how the monitoring of all the above standards is done].
Position x records results, signs and dates record x.

Deviation procedures

Responsible: Position x

Instructions: Follow General Instructions – Deviation Procedures

Reassessment procedures

Responsible: HACCP leader

Frequency: Once a x

Instructions: Follow General Instructions – Reassessment Procedures

Records

Record x, DEV01, Reass01

(B) Transportation, Purchasing/Receiving/Shipping – B.2.2 Storage – B.2.2.3

Non-food chemicals are received and stored in a dry, adequately ventilated area which is designed such that there is no possibility for cross-contamination of food, packaging materials or food contact surfaces.

When required for ongoing use in food handling areas, non-food chemicals are stored in a manner that prevents contamination of food, food contact surfaces or packaging material.

Non-food chemicals are mixed in clean, correctly labelled containers and dispensed and handled only by authorized and properly trained personnel.

References to additional written programs, policies or procedures to control the FSEP requirement

List each work description as well as any relevant policies and/or procedures for employees performing the applicable tasks. Controls to be applied when new construction/modification are covered under A.2.1.1

Monitoring procedures

Responsible: Position x

Frequency: Once a x

Monitoring standards

(Note: Each establishment must define their plant-specific standards for each of the identified FSEP requirements that are applicable to their operations. The establishment's standards must as a minimum meet the applicable regulatory standards.)

- The Non-food chemicals storage area is dry, adequately ventilated and designed such that there is no possibility for cross contamination of food or food contact surfaces.
- [Describe how non-food chemicals are to be stored]
- The chemicals are stored in clean and labelled containers.
- The chemicals are dispensed and handled only by authorized and properly trained personnel. [Make a reference to a list of trained employees]
- Non-food chemicals that are used in food handling rooms are stored in a manner that prevents contamination of food, food contact surfaces and packaging material.

Monitoring instructions

Position x ensures that the standards are met by [Describe how the monitoring is done]. Position x records results, signs and dates record x.

Deviation procedures

Responsible: Position x

Instructions: Follow General Instructions – Deviation Procedures

Reassessment procedures

Responsible: HACCP leader

Frequency: Once a x

Instructions: Follow General Instructions – Reassessment Procedures

Records

Record x, DEV01, Reass01

(C) Equipment – C.1.1 Equipment design, construction and installation – C.1.1.1

Equipment is designed, constructed and installed to ensure that:

- It meets regulatory and CFIA program requirements;
- It is capable of delivering the requirements of the process and the sanitation program;
- It is accessible for cleaning, sanitizing, maintenance and inspection and is easily disassembled for those purposes;
- Contamination of the product and food contact surfaces is prevented during operations;
- It permits proper drainage and where appropriate, it is connected directly to drains;
- It is smooth, non corrosive, non absorbent, non toxic, free from pitting, cracks and crevices where there are food contact surfaces;
- It is, where necessary, exhausted to the outside to prevent condensation.

Utensils are constructed of non-toxic materials, do not present a foreign material hazard that could contaminate the food, and are easy to clean and sanitize.

References to additional written programs, policies or procedures to control the FSEP requirement

List each work description as well as any relevant policies and/or procedures for employees performing the applicable tasks.

Monitoring procedures

Responsible: Position x

Frequency: At purchasing, receiving, designing, construction or modification of equipment/utensil and once a x

Monitoring standards

(Note: Each establishment must define their plant-specific standards for each of the identified FSEP requirements that are applicable to their operations. The establishment's standards must as a minimum meet the applicable regulatory standards.)

Equipment is designed, constructed and installed to ensure that:

- It is capable of delivering the requirements of the process and sanitation program;
- It is accessible for cleaning, sanitizing, maintenance and inspection;
- It prevents contamination of the product and food contact surfaces during operations;
- It permits proper drainage and where appropriate, is connected directly to drains;
- Food contact surfaces are smooth, non corrosive, non absorbent, non toxic, free from pitting, cracks and crevices
- It is, where necessary, exhausted to the outside to prevent excessive condensation.

Utensils are constructed of non-toxic materials, do not present a foreign material hazard that could contaminate the food, and are easy to clean and sanitize.

Monitoring instructions

- When equipment or utensils are purchased, designed, constructed or modified, Position x ensures that they meet the above standards. [Describe how Position x ensures that the standards are met]. Position x records results, signs and dates record x.
- When equipment is installed, Position x ensures that all standards are met before using it. [Describe how Position x ensures that the standards are met]. Position x records results, signs and dates record x.
- When new utensils are received, Position x ensures that utensils received meet purchasing specifications. [Describe how Position x ensures that the purchasing specifications are met]. Position x signs and dates the bill of lading.
- Once a x, before production begins, Position x inspect all equipment and utensils in the facility. Using a flash light if necessary to see all surfaces, Position x looks for corrosion, peeling paint, signs that surfaces are absorbing any substances (e.g. discolouration), rough, cracked or pitted surfaces (e.g. welds), any other damage or degradation (e.g. worn or thinning surfaces). (This inspection can be covered under C.1.2.1 Equipment Maintenance Program)

Deviation procedures

Responsible: Position x

Instructions: Follow General Instructions – Deviation Procedures

Reassessment procedures

Responsible: HACCP leader

Frequency: Once a x

Instructions: Follow General Instructions – Reassessment Procedures

Records

Record x, DEV01, Reass01

(C) Equipment – C.1.2 Equipment maintenance and calibration – C.1.2.1

The establishment has and implements a documented Preventative Equipment Maintenance Program which includes but is not limited to:

- A list of equipment that may impact on food safety requiring regular maintenance;
- A preventative maintenance schedule or frequency of preventative maintenance activities;
- The maintenance procedures to perform for each preventative maintenance task;
- Records to be kept to demonstrate that the preventative maintenance tasks have been completed.

References to additional written programs, policies or procedures to control the FSEP requirement

Equipment Maintenance Program (must include all requirements defined above)

Monitoring procedures

Responsible: Position x

Frequency: Once a x

Monitoring standards

(Note: Each establishment must define their plant-specific standards for each of the identified FSEP requirements that are applicable to their operations. The establishment's standards must as a minimum meet the applicable regulatory standards.)

Standards are defined in the Equipment Maintenance Program.
The Equipment Maintenance Program is implemented as written.

Monitoring instructions

Position x ensures that the Equipment Maintenance Program is implemented as written and is effective by performing an on-site assessment which includes observing procedures being implemented using the maintenance procedures as a reference, interviewing designated employees and reviewing the maintenance record file. Record x must be completed upon on-site assessment, dated and initialled. All maintenance records that have been evaluated must be initialled and dated.

Deviation procedures

Responsible: Position x

Instructions: Follow General Instructions – Deviation Procedures

Reassessment procedures

Responsible: HACCP leader

Frequency: Once a x

Instructions: Follow General Instructions – Reassessment Procedures

Records

Equipment maintenance record, Record x, DEV01, Reass01

(C) Equipment – C.1.2 Equipment maintenance and calibration – C.1.2.2

The establishment has and implements a documented Equipment Calibration Program which includes but is not limited to:

- A list of equipment monitoring and controlling devices that may impact on food safety requiring regular calibration;
- A calibration schedule or frequency of calibration activities;
- The calibration procedures to perform for each calibration task;
- Records to be kept to demonstrate that the calibration tasks have been completed.

References to additional written programs, policies or procedures to control the FSEP requirement

Equipment Calibration Program (must include all requirements defined above)

Monitoring procedures

Responsible: Position x

Frequency: Once a x

Monitoring standards

(Note: Each establishment must define their plant-specific standards for each of the identified FSEP requirements that are applicable to their operations. The establishment's standards must as a minimum meet the applicable regulatory standards.)

Standards are defined in the Equipment Calibration program.
The equipment calibration program is implemented as written.

Monitoring instructions

Position x ensures that the Equipment Calibration Program is implemented as written and is effective by performing an on-site assessment which includes observing procedures being implemented using the calibration procedures as a reference, interviewing designated employees and reviewing all calibration records. Record x must be completed upon on-site assessment, dated and initialled. All calibration records that have been evaluated must be initialled and dated.

Deviation procedures

Responsible: Position x

Instructions: Follow General Instructions – Deviation Procedures

Reassessment procedures

Responsible: HACCP leader

Frequency: Once a x

Instructions: Follow General Instructions – Reassessment Procedures

Records

Calibration records, Record x, DEV01, Reass01

(D) Personnel – D.1.1 General food hygiene training – D.1.1.1

The establishment has and implements a documented **General Food Hygiene Training Program** which includes but is not limited to:

- The establishment's general food hygiene program (see D.2.1.1);
- A list of employee positions who must receive the training;
 - All food handling employees and other employees that may work in food handling areas (e.g., maintenance staff, quality assurance (QA) staff, supervisors, etc.)
- The frequency of training;
 - The training is delivered at the start of employment, whenever changes are made to the program and reinforced at appropriate intervals
- Records to be kept to prove completion of personnel training.

References to additional written programs, policies or procedures to control the FSEP requirement

General Food Hygiene Training Program (must include all requirements defined above)

General Food Hygiene Program D.2.1.1

Monitoring procedures

Responsible: Position x

Frequency: Once a x

Monitoring standards

(Note: Each establishment must define their plant-specific standards for each of the identified FSEP requirements that are applicable to their operations. The establishment's standards must as a minimum meet the applicable regulatory standards.)

Standards are defined in the General Food Hygiene Training Program.

The General Food Hygiene Training Program is implemented as written. (Effectiveness of the training is monitored under D.2.1.1)

Monitoring instructions

Position X ensures that the General Food Hygiene Training Program is implemented as written by attending a training session once a x for assessment. Position x compares the list of new employees and the training records once a x. Position x ensures that the food hygiene training is reinforced at least yearly to all employees that may work in food handling areas. [Describe how Position x ensures that the training is reinforced].

Position x records results, signs and dates record x. All training records that have been evaluated must be initialled and dated.

Deviation procedures

Responsible: Position x

Instructions: Follow General Instructions – Deviation Procedures

Reassessment procedures

Responsible: HACCP leader

Frequency: Once a x

Instructions: Follow General Instructions – Reassessment Procedures

Records

Training records, Record x, DEV01, Reass01

(D) Personnel – D.1.2 Technical training – D.1.2.1

The establishment has and implements a documented Technical Training Program which includes but is not limited to:

- The prerequisite programs;
- The CCP(s), if applicable;
- The process control(s), if applicable;
- Any additional external technical training that is necessary to ensure current knowledge of equipment and process technology (e.g., licenses/certification required to operate equipment - HTST operator's certification / retort operator certification);
- A list of employee positions who must receive the training;
 - Designated employees involved in the delivery of procedures developed in response to the prerequisite programs requirements, CCPs, and process controls
- The frequency of training;
 - The training is delivered before the beginning of assignment and reinforced whenever changes are made and at appropriate intervals
- A method to confirm that the training has been effectively understood;
- Records to be kept to prove completion of personnel training.

References to additional written programs, policies or procedures to control the FSEP requirement

Technical Training Program (must include all requirements defined above)

Monitoring procedures

Responsible: Position x

Frequency: Once a x

Monitoring standards

(Note: Each establishment must define their plant-specific standards for each of the identified FSEP requirements that are applicable to their operations. The establishment's standards must as a minimum meet the applicable regulatory standards.)

Standards are defined in the technical training program.

The technical training program is implemented as written and is effective.

Monitoring instructions

Position x ensures that the Technical Training Program is implemented as written by attending a training session once a x. Position x compares the records proving completion of personnel training and the list of designated employees involved in the delivery of procedures (task procedures, monitoring procedures, deviation procedures, verification procedures) developed in response to the prerequisite programs requirements, CCPs, and process controls.

If applicable, Position x ensures that any mandatory external training/certification has been provided to designated employees.

Position x records results, signs and dates record x. All training records that have been evaluated must be initialled and dated.

Deviation procedures

Responsible: Position x

Instructions: Follow General Instructions – Deviation Procedures

Reassessment procedures

Responsible: HACCP leader

Frequency: Once a x

Instructions: Follow General Instructions – Reassessment Procedures

Records

Training records, Record x, DEV01, Reass01

(D) Personnel – D.2.1 General food hygiene program – D.2.1.1

The establishment has and implements a documented General Food Hygiene Program which includes, but is not limited to:

- Good Manufacturing and Personnel Hygiene Practices:
 - Methods for hand washing/sanitizing;
 - Correct use of protective clothing, hair coverings, gloves, footwear;
 - Prohibited practices at the establishment;
 - Hygienic handling of food;
 - Correct use of utensils and equipment;
 - Storage of personal effects to prevent cross-contamination;
 - Where required, restricted access to areas of the facilities by specific employees to prevent cross-contamination;
 - When required, procedures to prevent contamination due to the process flow, employee flow, product flow, equipment or incompatible operations;
 - When required, procedures to prevent cross-contamination during production. For example:
 - Glass control and breakage procedures
 - Procedures to follow when:
 - Product falls on the floor,
 - Product is exposed to dripping condensation;
- Procedures for visitors and contractors during production including:
 - Restricted access,
 - Hygienic practices;
- Personnel Health Status
 - The program must clearly state that personnel must advise management when known to be suffering from a disease likely to be transmitted through food;
 - No person is permitted to work in a food handling area when he or she is known to be suffering or a carrier of a disease likely to be transmitted through food;
 - Employees having open cuts or wounds should not handle food or food contact surfaces unless the injury is completely protected by a secure waterproof covering.

References to additional written programs, policies or procedures to control the FSEP requirement

General Food Hygiene Program (must include all requirements defined above)

Monitoring procedures

Responsible: Position x and *QA

Frequency: Daily

Monitoring standards

(Note: Each establishment must define their plant-specific standards for each of the identified FSEP requirements that are applicable to their operations. The establishment’s standards must as a minimum meet the applicable regulatory standards.)

Standards are defined in the general food hygiene program.
The general food hygiene program is implemented as written and is effective.

Monitoring instructions

Position x performs a visual inspection to ensure that the General Food Hygiene Program rules are followed by all employees. Position x records results, signs and dates record x.

*QA reviews, signs and dates all monitoring results. (This is optional, some establishments may want the QA to review all monitoring results at the end of the production day to ensure that the standards were met, and if appropriate, effective corrective actions were taken.)

Deviation procedures

Responsible: Position x an *QA

Instructions: Follow General Instructions – Deviation Procedures

Reassessment procedures

Responsible: HACCP leader

Frequency: Once a x

Instructions: Follow General Instructions – Reassessment Procedures

Records

Record x, DEV01, Reass01

(E) Sanitation and Pest Control – E.1.1 Sanitation program – E.1.1.1

The establishment has and implements a documented Sanitation Program which includes but is not limited to:

- The sanitation schedule/frequency for all equipment, and for all rooms within the establishment including livestock holding facilities, utensils, waste and inedible/food waste equipment and facilities, work gear etc that, if not kept in a clean/sanitary condition, would have a negative effect on food safety;
- Cleaning and sanitizing procedures including:
 - Details and specifics describing the method and procedures for equipment and room cleaning and sanitizing,
 - The chemicals required,
 - The chemical concentration level required,
 - Proper handling and application of chemicals (duration of application, etc)
 - The chemical solution temperatures, where applicable,
 - Equipment disassembly and assembly instructions,
 - Methods to prevent cross-contamination, where necessary;
- Housekeeping and sanitation procedures required during operations;
- Pre-operational inspection procedures;
- Environmental sampling procedures, if any;
- Corrective actions to be taken for non-compliant situations observed during pre-operational inspection activities and unsatisfactory environmental testing results;
- Records to be kept.

References to additional written programs, policies or procedures to control the FSEP requirement

- 1) Sanitation Program which includes all requirements defined above
- 2) QA lab manual: Environmental sampling procedures

Example of Task Procedures that should be described in the sanitation program.

1. As per sanitation schedules, the designated employee initials the Sanitation Schedule upon completion of each equipment disassembly and assembly. The Equipment disassembly and assembly instructions for all pieces of equipment are located in the Sanitation Program section A.
2. As per sanitation schedules, the designated employee initials the Sanitation Schedule upon completion of each scheduled cleaning and sanitizing activity. The cleaning and sanitizing procedures for all pieces of equipment and for all rooms within the establishment is located in the Sanitation Program section B.
3. On a daily basis (prior to cleaning and sanitizing operations), the designated employee measures the concentration of cleaners and sanitizers provided by pre-set dispensing units. Procedures and concentration details of cleaners and sanitizers are listed on the Sanitation Program section C. Record: The Daily Chemical Concentration/Temperature Check must be completed, dated and initialled. When a deviation is noted, the designated employee documents the deviation, the time, the corrective action taken and the time when conformity is re-established on the Daily Chemical Concentration/Temperature Check form.
4. On a daily basis (prior to cleaning and sanitizing operations), the designated employee ensures that the temperature of the water used meets the requirements for the cleaners used as listed on the Sanitation Program section C. Appropriate temperature of water is listed on the Sanitation Program section C. Record: The Daily Chemical Concentration/Temperature Check must be completed, dated and initialled. When a deviation is noted, the designated employee documents the deviation, the time, the corrective action taken and the time when conformity is re-established on the Daily Chemical Concentration/Temperature Check form.
5. On a daily basis, prior to operations, the designated employee performs an inspection of all production rooms, equipment and utensils to ensure that they are visibly clean. The Pre-Op Inspection Procedures including instructions for complex equipment is located in the Sanitation Program section E. Record: The Pre op form must be completed, dated and initialled. When a deviation is noted, the designated employee documents the deviation, the time, the corrective action taken and the time when conformity is re-established on the Pre op form.
6. On a weekly basis, the designated employee performs sampling as per the Aerobic Sampling Program. Aerobic sampling procedures are located in the QA lab manual section X. Samples are recorded on the Environmental Aerobic Count Results Record when samples are taken. Results are recorded when received. When a deviation is noted, the designated employee follows deviation procedures outlined in QA lab manual section X. Record: The Environmental Aerobic Count Results must be completed, dated and initialled.
7. As per Listeria sampling plan schedule, the designated employee collects the samples as per the Listeria

Sampling Program. The sampling plan and procedures are located in the QA lab manual section Y. Samples are recorded on the Environmental Food Contact and Non-Food Contact Listeria Results Records when samples are taken. Results are recorded when received. When a deviation is noted, the designated employee follows deviation procedures outlined in QA lab manual section Y. Records: The Environmental Food Contact and Non-Food Contact Listeria Results must be completed, dated and initialled.

8. On a daily basis, the designated employee ensures that housekeeping, cleaning and sanitizing procedures that must be carried out during production are followed. These procedures, including inspection activities performed prior to resuming production when sanitation activities are preformed during operations, are located in the Sanitation Program section D. Record: The Operational Form must be completed, dated and initialled. When a deviation is noted, the designated employee documents the deviation, the time, the corrective action taken and the time when conformity is re-established on the Operational Form.

Monitoring procedures

Responsibility: QA

Frequency: As per monitoring instructions below

Monitoring standards

Standards are defined in the sanitation program.

The sanitation program is implemented as written and is effective.

Monitoring instructions:

1. QA ensures that the sanitation schedule and cleaning procedures including equipment disassembly and assembly for all equipment, and for all rooms within the establishment is followed as per the written sanitation program sections A & B by performing an onsite observation of the procedures being implemented on a monthly basis and a record check (Sanitation schedule) on a daily basis. The Sanitation Monitoring Record must be completed upon on-site observation, dated and initialled. All records that have been reviewed must be initialled and dated.
2. QA ensures that the temperature and concentration level of cleaners and sanitizers provided by pre-set dispensing units is met by performing an onsite observation of task procedures being implemented (sanitation program section C) on a monthly basis and a record check (Daily Chemical Concentration/Temperature Check) on a daily basis. The Sanitation Monitoring Record must be completed upon on-site observation, dated and initialled. All records that have been reviewed must be initialled and dated.
3. QA ensures that Pre-operational inspection procedures, including corrective actions to be taken when a deviation occurs, are followed as per the Sanitation Program section E by performing an onsite observation of task procedures being implemented on a weekly basis and a record check (Pre-op Form) on a daily basis. The Sanitation Monitoring Record must be completed upon on-site observation, dated and initialled. All records that have been reviewed must be initialled and dated.
4. QA ensures that environmental sampling procedures are followed as per the QA lab manual sections X and Y, including corrective actions to be taken when a deviation occurs, by performing an onsite observation of task procedures being implemented on a monthly basis and a check on each lab results. The Sanitation Monitoring Record must be completed upon on-site observation, dated and initialled. All lab results that have been reviewed must be initialled and dated.
5. Ensures that housekeeping and sanitation procedures required during operations are followed as per Sanitation Program section D by performing a visual inspection on a weekly basis of all processing areas and a record check (Operational Form) on a daily basis. The Sanitation Monitoring Record must be completed, dated and initialled. All records that have been reviewed must be initialled and dated.

Deviation procedures

Responsible: QA

Instructions: Follow General Instructions – Deviation Procedures

Reassessment procedures

Responsible: HACCP leader

Frequency: Once a x

Instructions: Follow General Instructions – Reassessment Procedures

Records

[All task records], Sanitation Monitoring Record, DEV01, Reass01

(E) Sanitation and Pest Control – E.2.1 Pest control program – E.2.1.1

The establishment has and implements a documented Pest Control Program which includes but is not limited to:

- Where applicable, the name of the pest control company or the name of the person contracted for the pest control program;
- The name of the person at the establishment assigned responsibility for pest control;
- A schedule or frequency of pest control activities;
- Pest control procedures for the exterior and interior of the establishment including:
 - The pest control activities to be performed;
 - The chemicals required for the effective implementation of the pest control program;
 - The methods for proper handling and application of pest control chemicals;
 - The type and location of pest control devices;
 - Corrective actions to be taken for non-compliant situations observed during pest control activities,
 - Records to be kept.

References to additional written programs, policies or procedures to control the FSEP requirement

Pest Control Program (must include all requirements defined above)

Monitoring procedures

Responsibility: Position x

Frequency: Once a x

Monitoring standards

The pest control program is implemented as written and is effective.

Monitoring instructions

Position x ensures that the pest control program is implemented as written and is effective by accompanying the person contracted for the pest control program during the on-site tour and by reviewing and following-up on all pest control program records after each visit. Position x initials and dates the pest control program record after each visit.

Deviation procedures

Responsible: Position x

Instructions: Follow General Instructions – Deviation Procedures

Reassessment procedures

Responsible: HACCP leader

Frequency: Once a x

Instructions: Follow General Instructions – Reassessment Procedures

Records

Pest Control Program Record, DEV01, Reass01

(F) Recall – F.1.1 Recall plan – F.1.1.1

The establishment has and implements a documented Recall Plan which includes but is not limited to:

- Names of employees on the Recall Management Team including position, contact phone numbers and responsibilities.
- Notification/Complaint File including:
 - Recording of the initial notification/complaint information;
 - Investigation of the notification/complaint and a record of the findings;
 - Action taken based on the investigation findings;
 - Record of action taken.
- Recall Contact List – CFIA Notification including:
 - Title of the CFIA contact;
 - Contact telephone number;
 - Contact fax number.
- Methods to trace product.
 - Maintain product identification throughout the process until final packaging, including:
 - Raw ingredient tracing;
 - Premixing of ingredients ahead of use;
 - Rework.
 - Coding system documentation.
- Method(s) to record the amount of each lot code of each product produced.
- Distribution records and distribution record system for each lot of product including:
 - Name of the account and address;
 - Type of account (e.g., manufacturer, distributor, retailer);
 - Product name and lot code;
 - Who to contact at the account;
 - Telephone number and other contact numbers consistent with the documented method of contact during the recall (e.g. fax number, e-mail address);
 - Amount of product shipped to each account.
- Procedure(s) for developing, producing and maintaining recalled product records.
- Step by step recall procedures which will be followed during a recall, including:
 - Assemble the recall management team;
 - Notify the CFIA;
 - Identify all products to be recalled;
 - Detain and segregate all products to be recalled which are in the establishment's control;
 - Prepare the press release, if required;
 - Prepare the distribution list;
 - Prepare and distribute the notice of recall;
 - Verify the effectiveness of the recall;
 - Control the recalled product(s);
 - Disposition of the recalled product(s);
 - Identify and correct the cause of the recall if the problem occurred at the establishment.
- Methods to assess the effectiveness of the establishment's recall notification.
- Procedures for testing the recall plan (mock recall exercise).
- Records to be kept in case of recalls.

References to additional written programs, policies or procedures to control the FSEP requirement

Recall Program (must include all requirements defined above)

Monitoring procedures

Responsible: Position x

Frequency: Once a x

Monitoring standards

The recall program is implemented as written and is effective.

Monitoring instructions

Position X ensures that the recall program is implemented as written and is effective by performing a mock recall exercise once a x. Position X records results, signs and dates record x. (Record x must cover all recall plan components).

Deviation procedures

Responsible: Position X

Instructions: Follow General Instructions – Deviation Procedures

Reassessment procedures

Responsible: HACCP leader

Frequency: Once a x

Instructions: Follow General Instructions – Reassessment Procedures

Records

Record x, DEV01, Reass01

(F) Recall – F.1.2 Product coding and labelling – - F.1.2.1

The establishment has and implements documented operational procedures to ensure that:

- Finished products are correctly and legibly coded;
- The finished product label information accurately represents the product name and the composition of the product on which the label is affixed.

The procedure to prevent incorrect labelling/coding shall include but is not limited to:

- The names or title of personnel responsible for particular task;
- Frequency of activity;
- Description of the task to be performed;
- Corrective actions to be taken when product is mislabelled or miscoded;
- Operational records to be kept.

References to additional written programs, policies or procedures to control the FSEP requirement

Procedures to prevent incorrect labelling/coding (must include all requirements defined above)

Industry must fully describe all procedures needed to be followed at specific steps of the process in order to correlate all ingredients that were used to prepare the product with the ingredients that are on the label. (From receiving of ingredients to the final labelling).

If procedures are already included in other prerequisite programs or CCP, they must be referenced in this section.

Monitoring procedures

Responsible: Position x

Frequency: Once a x

Monitoring standards

- Finished products are correctly and legibly coded;
- The finished product label information accurately represents the product name and the composition of the product on which the label is affixed.
- The procedures to prevent incorrect labelling/coding are implemented as written and are effective.

Monitoring instructions

Position x ensures that the procedures to prevent incorrect labelling/coding are implemented as written and are effective by performing an on-site assessment which includes observing procedures being implemented using the written procedures as a reference and interviewing designated employees once a x. Position x reviews all operational records on a daily basis. Record x must be completed upon on-site assessment, dated and initialled. All records that have been reviewed must be initialled and dated.

Deviation procedures

Responsible: Position x

Instructions: Follow General Instructions – Deviation Procedures

Reassessment procedures

Responsible: HACCP leader

Frequency: Once a x

Instructions: Follow General Instructions – Reassessment Procedures

Records

Record x, DEV01, Reass01

(G) Operational prerequisite programs – G.1.1 Allergen control program – G.1.1.1

Where applicable, procedures and/or policies are developed and implemented to ensure proper control of new or modified product formulations. This must include a minimum of:

- A product development and approval process flow including steps to be followed when modifications to existing product formulations are made;
- Communication links among all the steps in the chain of production once a new formulation or changes in a formulation have been approved.

References to additional written programs, policies or procedures to control the FSEP requirement

Industry must develop procedures, policies or a flow chart describing the steps to follow when a new food product is developed and when modifications to existing product formulations are made.

Industry must also develop procedures, policies or a flow chart describing the communication links among all the steps in the chain of production once a new formulation or changes in a formulation have been approved.

Monitoring procedures

Responsible: Position x

Frequency: Once a x

Monitoring standards

The procedures, policies or flow charts are implemented as written.

Monitoring instructions

Position x ensures that the procedures, policies or flow charts are implemented as written and are effective by performing an on-site assessment which includes observing procedures and policies being implemented and interviewing designated employees. Record x must be completed upon on-site assessment, dated and initialled.

Deviation procedures

Responsible: Position x

Instructions: Follow General Instructions – Deviation Procedures

Reassessment procedures

Responsible: HACCP leader

Frequency: Once a x

Instructions: Follow General Instructions – Reassessment Procedures

Records

Record x, DEV01, Reass01

(G) Operational prerequisite programs – G.1.1 Allergen control program – G.1.1.2

Where applicable, procedures and/or policies related to purchasing of ingredients are developed and implemented to ensure proper control and identification of allergens for incoming ingredients. This must include a minimum of:

- Identification of any allergens not allowed in an establishment if such a policy is in place;
- A list of approved suppliers and ingredients;
- Supplier specification for each ingredient or ingredient blend clearly listing each ingredient and, where applicable, components of ingredients;
- Documentation indicating that the supplier will:
 - Meet the establishment's specifications;
 - Notify the establishment when a change is made to their ingredient blend formula which adds or eliminates an allergen or in the case of sulphites, increases or decreases the level of sulphites.

References to additional written programs, policies or procedures to control the FSEP requirement

Purchasing procedures (must include all above requirements). This bullet may be covered by B.2.1.1. B.2.1.1 must include all requirements defined above.

Monitoring procedures

Responsible: Position x

Frequency: Once a x

Monitoring standards

The purchasing procedures are implemented as written.

The purchasing file includes:

- The list of approved suppliers/sources
- Suppliers' specifications for each ingredients or ingredient blend clearly listing each ingredient and, where applicable, components of ingredients
- Documentation indicating that each supplier will:
 - Meet the establishment's specifications;
 - Notify the establishment when a change is made to their ingredient blend formula which adds or eliminates an allergen or in the case of sulphites, increases or decreases the level of sulphites.

Monitoring instructions

Position x ensures that the purchasing procedures are implemented as written and are effective by interviewing designated employees and ensuring that the purchasing documentation file is complete. Record x must be completed upon assessment, dated and initialled.

Deviation procedures

Responsible: Position x

Instructions: Follow General Instructions – Deviation Procedures

Reassessment procedures

Responsible: HACCP leader

Frequency: Once a x

Instructions: Follow General Instructions – Reassessment Procedures

Records

Record x, DEV01, Reass01

(G) Operational prerequisite programs – G.1.1 Allergen control program – G.1.1.3

Where applicable, procedures and/or policies are developed and implemented to ensure proper control of new or modified labels. This must include a minimum of:

- A label approval process including steps to be followed in case of re-approval of product labels resulting from modifications to existing product formulations;
- Communication links among all the steps in the chain of production once a new label, or changes to a label, have been approved.

References to additional written programs, policies or procedures to control the FSEP requirement

Industry must develop procedures, policies or a flow chart describing the steps to follow when a new label is developed and when modifications to existing labels are made.

Industry must also develop procedures, policies or a flow chart describing the communication links among all the steps in the chain of production once a new label or changes to existing labels have been approved.

Monitoring procedures

Responsible: Position x

Frequency: Once a x

Monitoring standards

The procedures, policies or flow charts are implemented as written.

Monitoring instructions

Position x ensures that the procedures, policies or flow charts are implemented as written and are effective by performing an on-site assessment which includes observing procedures, policies or flow charts being implemented and interviewing designated employees. Record x must be completed upon on-site assessment, dated and initialled.

Deviation procedures

Responsible: Position x

Instructions: Follow General Instructions – Deviation Procedures

Reassessment procedures

Responsible: HACCP leader

Frequency: Once a x

Instructions: Follow General Instructions – Reassessment Procedures

Records

Record x, DEV01, Reass01

(G) Operational prerequisite programs – G.1.1 Allergen control program – G.1.1.4

Where applicable, procedures and/or policies related to receiving of ingredients and externally printed labels are developed and implemented to ensure that:

- Only approved ingredients from approved suppliers/sources are received;
- The labels of approved ingredients received match the establishment's finished product list of ingredients and components of ingredients;
- The mandatory requirements that appear on externally printed labels are accurate.

References to additional written programs, policies or procedures to control the FSEP requirement

This bullet may be covered by B.2.1.3. B.2.1.3 must include all above requirements.

Monitoring procedures

Responsible: Position x

Frequency: At receiving

Monitoring standards

- Only approved ingredients are received into the establishment.
- The labels of approved ingredients received match the establishment's finished product list of ingredients and components of ingredients;
- Externally printed labels meet the specifications.

Monitoring instructions

- [Describe how Position x determines that the incoming ingredients come from approved suppliers and/or are approved ingredients.]
- [Describe how Position x determines that the labels received match the finished product list of ingredients and components of ingredients]
- [Describe how Position x determines that the externally printed labels meets the specifications]

Deviation procedures

Responsible: Position x

Instructions: Follow General Instructions – Deviation Procedures

Reassessment procedures

Responsible: HACCP leader

Frequency: Once a x

Instructions: Follow General Instructions – Reassessment Procedures

Records

Record x, DEV01, Reass01

(G) Operational prerequisite programs – G.1.1 Allergen control program – G.1.1.5

Where applicable, procedures associated with Weighing/Blending/Mixing/Formulation are developed and implemented to ensure that the correct ingredient is added to the correct product as indicated in the formula. This must include a minimum of:

- The names or titles of personnel responsible for these particular tasks;
- Methods or instructions for the task(s) to be performed;
- Corrective actions to be taken when deviant situations occur during any of these steps;
- Operational records to be kept.

References to additional written programs, policies or procedures to control the FSEP requirement

Procedures associated with Weighing/Blending/Mixing/Formulation (must include all requirements defined above)

Monitoring procedures

Responsible: Position x

Frequency: Once a x

Monitoring standards

Procedures associated with Weighing/Blending/Mixing/Formulation are implemented as written and are effective.

Monitoring instructions

Position x ensures that the procedures associated with Weighing/Blending/Mixing/Formulation are implemented as written and are effective by performing an on-site assessment which includes observing procedures being implemented using the written procedures as a reference and interviewing designated employees once a x. Position x reviews all operational records on a daily basis. Record x must be completed upon on-site assessment, dated and initialled. All records that have been reviewed must be initialled and dated.

Deviation procedures

Responsible: Position x

Instructions: Follow General Instructions – Deviation Procedures

Reassessment procedures

Responsible: HACCP leader

Frequency: Once a x

Instructions: Follow General Instructions – Reassessment Procedures

Records

Record x, DEV01, Reass01

(G) Operational prerequisite programs – G.1.1 Allergen control program – G.1.1.6

Where applicable, procedures and/or policies related to the use of rework are developed and implemented to ensure that the rework formulation ingredients and the product formulation ingredients match, specifically as it applies to allergen ingredients.

References to additional written programs, policies or procedures to control the FSEP requirement

Procedures related to the use of rework

Monitoring procedures

Responsible: Position x

Frequency: Once a x

Monitoring standards

Procedures related to the use of rework are implemented as written and are effective.

Monitoring instructions

Position x ensures that the procedures related to the use of rework are implemented as written and are effective by performing an on-site assessment which includes observing procedures being implemented using the written procedures as a reference and interviewing designated employees once a x. Position x reviews all operational records on a daily basis. Record x must be completed upon on-site assessment, dated and initialled. All records that have been reviewed must be initialled and dated.

Deviation procedures

Responsible: Position x

Instructions: Follow General Instructions – Deviation Procedures

Reassessment procedures

Responsible: HACCP leader

Frequency: Once a x

Instructions: Follow General Instructions – Reassessment Procedures

Records

Record x, DEV01, Reass01

(G) Operational prerequisite programs – G.1.1 Allergen control program – G.1.1.7

Where applicable, procedures related to labelling of finished product are developed and implemented to ensure that the finished product label information accurately represents the product name and the composition of the product on which the label is affixed.

This must include a minimum of:

- The names or title of personnel responsible for particular tasks;
- Frequency of activity;
- Methods or instructions for the task(s) to be performed;
- Corrective actions to be taken when product is mislabelled;
- Operational records to be kept.

References to additional written programs, policies or procedures to control the FSEP requirement

This requirement is fully controlled under F.1.2.1

(G) Operational prerequisite programs – G.1.1 Allergen control program – G.1.1.8

Where applicable, procedures and/or policies for disposal of obsolete materials are developed and implemented to prevent their inadvertent use. Obsolete materials include:

- Labels (refers to any pre-printed packaging that bears a list of ingredients);
- Formula documents;
- Ingredients and work in process.

References to additional written programs, policies or procedures to control the FSEP requirement

Procedures for disposal of obsolete materials

Monitoring procedures

Responsible: Position x

Frequency: Once a x

Monitoring standards

Procedures for disposal of obsolete materials are implemented as written and are effective.

Monitoring instructions

[Describe how Position x determines that the procedures for disposal of obsolete materials are implemented as written and are effective.]

Deviation procedures

Responsible: Position x

Instructions: Follow General Instructions – Deviation Procedures

Reassessment procedures

Responsible: HACCP leader

Frequency: Once a x

Instructions: Follow General Instructions – Reassessment Procedures

Records

Record x, DEV01, Reass01

(G) Operational prerequisite programs – G.1.1 Allergen control program – G.1.1.9

Where applicable, procedures and/or policies are developed and implemented to control cross-contamination of undeclared allergens in the food products. Procedures include as a minimum, the management and control of:

- Production scheduling if dedicated lines for allergens are not available;
- Traffic patterns of employees who handle allergens and non allergens;
- The traffic flow and handling of ingredients containing allergens during receiving, storage, processing and packaging;
- Dedicated or segregated storage of ingredients containing allergens;
- The identification and sanitation of bulk containers housing allergens or ingredients containing allergens;
- Dedicated utensils, equipment and areas used to handle allergens;
- The handling and storage of rework product(s) containing allergen ingredients;
- Cleaning of equipment/food contact surfaces/areas during operations if dedicated lines/equipment/areas for allergens are not available.

References to additional written programs, policies or procedures to control the FSEP requirement

Procedures to control cross-contamination of undeclared allergens in the food products

Monitoring procedures

Responsible: Position x

Frequency: Once a x

Monitoring standards

Procedures to control cross-contamination of undeclared allergens in the food products are implemented as written and are effective.

Monitoring instructions

Position x ensures that the procedures to control cross-contamination of undeclared allergens in the food products are implemented as written and are effective by [Describe how Position x determines that the each procedure is implemented as written and is effective.] Record x must be completed upon on-site assessment, dated and initialled.

Deviation procedures

Responsible: Position x

Instructions: Follow General Instructions – Deviation Procedures

Reassessment procedures

Responsible: HACCP leader

Frequency: Once a x

Instructions: Follow General Instructions – Reassessment Procedures

Records

Record x, DEV01, Reass01

(G) Operational prerequisite programs – G.1.2 Food additives and nutrients – G.1.2.1

Where applicable, procedures associated with Formulation and Addition of food additives and nutrients are developed and implemented to ensure that the concentrations remain within the allowable parameters specified in the *Food & Drug Regulations*. This must include a minimum of:

- the name of the food additive or nutrient;
- the food product in or upon which the food additive or nutrient is added;
- the standards to be met (limit of acceptability);
- the names or titles of personnel responsible for particular tasks at the formulation and food additives or nutrients addition steps;
- the methods or instructions for the task(s) to be performed;
- the frequency of the task(s) to be performed;
- the corrective actions to be taken when the standards are not met;
- the operational records to be kept.

References to additional written programs, policies or procedures to control the FSEP requirement

Procedures associated with formulation and addition of food additives and nutrients. (Must include all requirements defined above)

Monitoring procedures

Responsible: Position x

Frequency: Once a x

Monitoring standards

Procedures referenced above are implemented as written and are effective.

Monitoring instructions

Position x ensures that the procedures are implemented as written and are effective by performing an on-site assessment which includes observing procedures being implemented using the written procedures as a reference and interviewing designated employees once a x. Position x reviews all operational records on a daily basis. Record x must be completed upon on-site assessment, dated and initialled. All records that have been reviewed must be initialled and dated.

Deviation procedures

Responsible: Position x

Instructions: Follow General Instructions – Deviation Procedures

Reassessment procedures

Responsible: HACCP leader

Frequency: Once a x

Instructions: Follow General Instructions – Reassessment Procedures

Records

Record x, DEV01, Reass01

(G) Operational prerequisite programs – G.1.2 Food additives and nutrients – G.1.2.2

Where applicable, procedures associated with modified atmosphere packaging systems are developed and implemented to ensure that the standards defining the modified atmosphere are met. This must include a minimum of:

- a description of the modified atmosphere packaging system used;
- the standards to be met (limit of acceptability);
- the names or titles of personnel responsible for particular tasks at the modified atmosphere packaging step;
- the methods or instructions for the task(s) to be performed;
- the frequency of the task(s) to be performed;
- the corrective actions to be taken when the standards are not met;
- the operational records to be kept.

References to additional written programs, policies or procedures to control the FSEP requirement

Procedures associated with modified atmosphere packaging system. (Must include all requirements defined above)

Monitoring procedures

Responsible: Position x

Frequency: Once a x

Monitoring standards

Procedures associated with modified atmosphere packaging system are implemented as written and are effective.

Monitoring instructions

Position x ensures that the procedures associated with modified atmosphere packaging system are implemented as written and are effective by performing an on-site assessment which includes observing procedures being implemented using the written procedures as a reference and interviewing designated employees once a x. Position x reviews all operational records on a daily basis. Record x must be completed upon on-site assessment, dated and initialled. All records that have been reviewed must be initialled and dated.

Deviation procedures

Responsible: Position x

Instructions: Follow General Instructions – Deviation Procedures

Reassessment procedures

Responsible: HACCP leader

Frequency: Once a x

Instructions: Follow General Instructions – Reassessment Procedures

Records

Record x, DEV01, Reass01

(G) Operational prerequisite programs – G.1.3 Food Processing Aids – G.1.3.1

Where applicable, procedures associated with steps where food processing aids are used are developed and implemented to ensure that the concentrations remain within the allowable parameters specified for the use of that particular processing aid. This must include a minimum of:

- The identification of the step(s) where food processing aids are used;
- the name of the food processing aids used;
- the standards to be met (limit of acceptability);
- the names or titles of personnel responsible for particular tasks at the identified steps;
- the methods or instructions for the task(s) to be performed;
- the frequency of the task(s) to be performed;
- the corrective actions to be taken when the standards are not met;
- the operational records to be kept.

References to additional written programs, policies or procedures to control the FSEP requirement

Procedures associated with steps where food processing aids are used (Must include all requirements defined above)

Monitoring procedures

Responsible: Position x

Frequency: Once a x

Monitoring standards

Procedures referenced above are implemented as written and are effective.

Monitoring instructions

Position x ensures that the procedures are implemented as written and are effective by performing an on-site assessment which includes observing procedures being implemented using the written procedures as a reference and interviewing designated employees once a x. Position x reviews all operational records on a daily basis. Record x must be completed upon on-site assessment, dated and initialled. All records that have been reviewed must be initialled and dated.

Deviation procedures

Responsible: Position x

Instructions: Follow General Instructions – Deviation Procedures

Reassessment procedures

Responsible: HACCP leader

Frequency: Once a x

Instructions: Follow General Instructions – Reassessment Procedures

Records

Record x, DEV01, Reass01