FREE OPERATIONAL TEMPLATE

HACCP Audit Checklist

Use this 60-point checklist to audit HACCP governance, prerequisite programs, process flow, hazard analysis, CCPs, critical limits, monitoring, deviations, verification, traceability, records, and corrective-action closure.

SITE	DATE AND SHIFT	AUDITOR	HACCP LEAD

1. Audit setup, scope, HACCP team, and governance

1 Record the site, department, audit date, shift, auditor, HACCP team leader, process owner, reviewer, and operations included in the audit. DOCUMENT REVIEW

NAME | Enter | DATE / TIME | Enter | APPROVAL | Sign

Execution tip: Confirm the audit scope matches the current approved plan, actual products, and operating process before scoring begins.

2 Confirm the current HACCP plan is approved, version-controlled, available at the point of use, and matched to the products and processes being audited. CRITICAL DOCUMENT REVIEW

Current | Incomplete | Missing or outdated | Attach record

Execution tip: Confirm the audit scope matches the current approved plan, actual products, and operating process before scoring begins.

3 Verify the HACCP team includes suitable knowledge of products, processes, microbiological, chemical, physical, allergen, engineering, and operational risks. HACCP CHECK

Compliant | Partial | Non-compliant | N/A

Execution tip: Confirm the audit scope matches the current approved plan, actual products, and operating process before scoring begins.

4 Define the applicable legal, customer, certification, company, and food-safety requirements used to assess the HACCP system. CRITICAL HACCP CHECK

Compliant | Partial | Non-compliant | N/A

Execution tip: Confirm the audit scope matches the current approved plan, actual products, and operating process before scoring begins.

5 Review previous HACCP audit findings, CCP deviations, complaints, recalls, verification failures, process changes, and overdue corrective actions. DOCUMENT REVIEW

Finding	Priority	Owner	Due	Proof

Execution tip: Confirm the audit scope matches the current approved plan, actual products, and operating process before scoring begins.

6 Assign responsibility for monitoring, deviation response, product hold, investigation, verification, escalation, approval, and final closure. CRITICAL ACTION

NAME | Enter | DATE / TIME | Enter | APPROVAL | Sign

Execution tip: Confirm the audit scope matches the current approved plan, actual products, and operating process before scoring begins.

2. Prerequisite programs and operating conditions

7 Verify prerequisite programs supporting the HACCP plan are documented, implemented, monitored, and reviewed for effectiveness. DOCUMENT REVIEW

Current | Incomplete | Missing or outdated | Attach record

Execution tip: Treat prerequisite programs as the operating foundation of HACCP and escalate failures that can undermine a critical control.

8 Confirm controls for personal hygiene, illness reporting, handwashing, protective clothing, and employee practices are consistently followed. HACCP CHECK

Compliant | Partial | Non-compliant | N/A

Execution tip: Treat prerequisite programs as the operating foundation of HACCP and escalate failures that can undermine a critical control.

9 Inspect cleaning, sanitation, chemical control, environmental hygiene, waste, drainage, and pest-management programs for effective implementation. DOCUMENT REVIEW

Current | Incomplete | Missing or outdated | Attach record

Execution tip: Treat prerequisite programs as the operating foundation of HACCP and escalate failures that can undermine a critical control.

10 Verify supplier approval, receiving, storage, temperature control, stock rotation, allergen segregation, and traceability programs support the hazard controls. DOCUMENT REVIEW

NAME | Enter | DATE / TIME | Enter | APPROVAL | Sign

Execution tip: Treat prerequisite programs as the operating foundation of HACCP and escalate failures that can undermine a critical control.

11 Confirm preventive maintenance, calibration, glass and brittle-plastic control, foreign-material prevention, and equipment hygiene are current. READING OR RECORD

RESULT | Enter | LIMIT / STATUS | Enter | Attach record

Execution tip: Treat prerequisite programs as the operating foundation of HACCP and escalate failures that can undermine a critical control.

12 Check prerequisite-program failures are recorded, risk-assessed, corrected, and escalated when they could affect a CCP or product safety. CRITICAL DOCUMENT REVIEW

Current | Incomplete | Missing or outdated | Attach record

Execution tip: Treat prerequisite programs as the operating foundation of HACCP and escalate failures that can undermine a critical control.

3. Product description, intended use, and process flow

13 Confirm each product or product group has a current description covering ingredients, allergens, formulation, packaging, shelf life, storage, and distribution conditions. HACCP CHECK

Compliant | Partial | Non-compliant | N/A

Execution tip: Walk the actual process during production, including rework, delays, temporary storage, returns, utilities, and outsourced steps.

14 Verify intended use, expected consumers, vulnerable groups, preparation instructions, and foreseeable misuse are documented. HACCP CHECK

Compliant | Partial | Non-compliant | N/A

Execution tip: Walk the actual process during production, including rework, delays, temporary storage, returns, utilities, and outsourced steps.

15 Check the process-flow diagram includes every step from receiving and storage through preparation, processing, rework, packing, dispatch, and waste handling. PROCESS VERIFICATION

Matches process | Minor difference | Material gap | Attach flow

Execution tip: Walk the actual process during production, including rework, delays, temporary storage, returns, utilities, and outsourced steps.

16 Confirm inputs such as water, ice, air, packaging, returned product, rework, utilities, and outsourced steps are shown where relevant. HACCP CHECK

Matches process | Minor difference | Material gap | Attach flow

Execution tip: Walk the actual process during production, including rework, delays, temporary storage, returns, utilities, and outsourced steps.

17 Verify the HACCP team has confirmed the process-flow diagram on site during normal operations and documented the verification date and participants. CRITICAL PROCESS VERIFICATION

Matches process | Minor difference | Material gap | Attach flow

Execution tip: Walk the actual process during production, including rework, delays, temporary storage, returns, utilities, and outsourced steps.

18 Check process changes, new equipment, layout changes, new ingredients, altered suppliers, or new product formats trigger an updated flow review. DOCUMENT REVIEW

Current | Incomplete | Missing or outdated | Attach record

Execution tip: Walk the actual process during production, including rework, delays, temporary storage, returns, utilities, and outsourced steps.

4. Hazard identification and risk analysis

19 Verify biological, chemical, physical, allergen, radiological, and intentional-contamination hazards are considered at every process step where relevant. HACCP CHECK

Compliant | Partial | Non-compliant | N/A

Execution tip: Describe hazards specifically and use evidence-based severity and likelihood criteria rather than broad generic labels.

20 Confirm hazards are specific enough to describe the source, condition, agent, product, process step, and potential consumer impact. HACCP CHECK

Compliant | Partial | Non-compliant | N/A

Execution tip: Describe hazards specifically and use evidence-based severity and likelihood criteria rather than broad generic labels.

21 Check hazard significance is assessed using defined severity and likelihood criteria that are applied consistently across the plan. CRITICAL RISK ANALYSIS

Low | Medium | High or critical | Attach analysis

Execution tip: Describe hazards specifically and use evidence-based severity and likelihood criteria rather than broad generic labels.

22 Verify historical incidents, scientific information, supplier data, complaints, test results, process capability, and legal limits support the risk assessment. READING OR RECORD

RESULT | Enter

LIMIT / STATUS | Enter

Attach record

Execution tip: Describe hazards specifically and use evidence-based severity and likelihood criteria rather than broad generic labels.

23 Confirm existing control measures are linked to each significant hazard and are practical, measurable, and capable of controlling the risk. CRITICAL HACCP CHECK

Compliant | Partial | Non-compliant | N/A

Execution tip: Describe hazards specifically and use evidence-based severity and likelihood criteria rather than broad generic labels.

24 Check excluded or non-significant hazards include a clear justification and are reviewed when products, processes, evidence, or requirements change. CRITICAL DOCUMENT REVIEW

Current | Incomplete | Missing or outdated | Attach record

Execution tip: Describe hazards specifically and use evidence-based severity and likelihood criteria rather than broad generic labels.

5. CCP determination and critical limits

25 Verify the method used to determine critical control points is documented and applied consistently to every significant hazard. CRITICAL HACCP CHECK

Compliant | Partial | Non-compliant | N/A

Execution tip: Every CCP and critical limit should have a clear scientific or regulatory basis and an accountable monitoring owner.

26 Confirm each CCP is linked to a specific hazard, process step, control measure, responsible role, and monitoring record. CRITICAL DOCUMENT REVIEW

Current | Incomplete | Missing or outdated | Attach record

Execution tip: Every CCP and critical limit should have a clear scientific or regulatory basis and an accountable monitoring owner.

27 Check critical limits are measurable or objectively observable and clearly separate acceptable control from a deviation. CRITICAL READING OR RECORD

RESULT | Enter | LIMIT / STATUS | Enter | Attach record

Execution tip: Every CCP and critical limit should have a clear scientific or regulatory basis and an accountable monitoring owner.

28 Verify every critical limit is supported by legislation, scientific evidence, validation studies, supplier instructions, process capability, or recognized guidance. CRITICAL READING OR RECORD

RESULT | Enter | LIMIT / STATUS | Enter | Attach record

Execution tip: Every CCP and critical limit should have a clear scientific or regulatory basis and an accountable monitoring owner.

29 Confirm operational limits or warning limits are defined where early intervention is needed before a critical limit is breached. CRITICAL READING OR RECORD

RESULT | Enter | LIMIT / STATUS | Enter | Attach record

Execution tip: Every CCP and critical limit should have a clear scientific or regulatory basis and an accountable monitoring owner.

30 Check CCP changes, merged steps, removed controls, or newly identified hazards are formally reviewed and approved by the HACCP team. CRITICAL DOCUMENT REVIEW

Current | Incomplete | Missing or outdated | Attach record

Execution tip: Every CCP and critical limit should have a clear scientific or regulatory basis and an accountable monitoring owner.

6. CCP monitoring, instruments, and record accuracy

31 Confirm every CCP has a documented monitoring method stating what is checked, how it is checked, when, how often, by whom, and where it is recorded. CRITICAL DOCUMENT REVIEW

Current | Incomplete | Missing or outdated | Attach record

Execution tip: Compare records with live monitoring practice, instrument status, batch details, and realistic result patterns.

32 Observe monitoring during live operations to verify employees follow the approved method and understand the relevant critical limit. CRITICAL READING OR RECORD

RESULT | Enter | LIMIT / STATUS | Enter | Attach record

Execution tip: Compare records with live monitoring practice, instrument status, batch details, and realistic result patterns.

33 Check monitoring frequency is sufficient to detect loss of control before affected product is released or leaves the site. CRITICAL HACCP CHECK

Hold | Assess | Authorized disposition | BATCH / QUANTITY | Enter

Execution tip: Compare records with live monitoring practice, instrument status, batch details, and realistic result patterns.

34 Verify instruments, probes, timers, scales, detectors, sensors, and test devices used for CCP monitoring are identified, suitable, and within calibration. CRITICAL READING OR RECORD

RESULT | Enter | LIMIT / STATUS | Enter | Attach record

Execution tip: Compare records with live monitoring practice, instrument status, batch details, and realistic result patterns.

35 Review monitoring records for actual results, date, time, batch or product, equipment or line, operator identity, deviations, corrections, and verifier sign-off. CRITICAL DOCUMENT REVIEW

NAME | Enter | DATE / TIME | Enter | APPROVAL | Sign

Execution tip: Compare records with live monitoring practice, instrument status, batch details, and realistic result patterns.

36 Confirm missed, estimated, copied, altered, incomplete, or implausible monitoring results are investigated rather than accepted without review. CRITICAL READING OR RECORD

RESULT | Enter | LIMIT / STATUS | Enter | Attach record

Execution tip: Compare records with live monitoring practice, instrument status, batch details, and realistic result patterns.

7. Deviations, corrective action, and product disposition

37 Verify each CCP has a documented deviation procedure that defines immediate control, notification, product hold, investigation, and decision authority.

CRITICAL | DOCUMENT REVIEW

Hold | Assess | Authorized disposition | BATCH / QUANTITY | Enter

Execution tip: Keep affected product secured until an authorized disposition decision is documented and independently verified.

38 Confirm employees stop or control the affected process when a critical limit is breached and prevent potentially unsafe product from being released.

CRITICAL | READING OR RECORD

RESULT | Enter | LIMIT / STATUS | Enter | Attach record

Execution tip: Keep affected product secured until an authorized disposition decision is documented and independently verified.

39 Check all product produced since the last confirmed in-control check is identified, segregated, labeled, secured, and traceable.

CRITICAL | PRODUCT CONTROL

Hold | Assess | Authorized disposition | BATCH / QUANTITY | Enter

Execution tip: Keep affected product secured until an authorized disposition decision is documented and independently verified.

40 Verify product disposition decisions such as release, rework, further processing, return, downgrade, destruction, or laboratory assessment are authorized and evidenced.

CRITICAL | PRODUCT CONTROL

Hold | Assess | Authorized disposition | BATCH / QUANTITY | Enter

Execution tip: Keep affected product secured until an authorized disposition decision is documented and independently verified.

41 Confirm the cause of each deviation is investigated and corrective action addresses people, method, equipment, materials, environment, supervision, or system gaps.

CRITICAL | ACTION

Finding	Priority	Owner	Due	Proof

Execution tip: Keep affected product secured until an authorized disposition decision is documented and independently verified.

42 Check the CCP is independently verified as back under control before normal production resumes and the event is escalated when required.

CRITICAL | HACCP CHECK

Compliant | Partial | Non-compliant | N/A

Execution tip: Keep affected product secured until an authorized disposition decision is documented and independently verified.

8. Verification, validation, and HACCP plan review

43 Verify each control measure and critical limit was validated before implementation and after changes that could affect control effectiveness.

CRITICAL | READING OR RECORD

RESULT | Enter | LIMIT / STATUS | Enter | Attach record

Execution tip: Use validation to show a control can work and verification to confirm it continues to work in routine operations.

44 Confirm verification activities cover record review, direct observation, calibration review, sampling, testing, internal audit, trend analysis, and corrective-action review.

READING OR RECORD

RESULT | Enter | LIMIT / STATUS | Enter | Attach record

Execution tip: Use validation to show a control can work and verification to confirm it continues to work in routine operations.

45 Check CCP records are reviewed by an authorized person within the defined timeframe and before product release where required.

CRITICAL | DOCUMENT REVIEW

Current | Incomplete | Missing or outdated | Attach record

Execution tip: Use validation to show a control can work and verification to confirm it continues to work in routine operations.

46 Review microbiological, chemical, allergen, environmental, or finished-product test results for trends and evidence that controls remain effective.

READING OR RECORD

RESULT | Enter | LIMIT / STATUS | Enter | Attach record

Execution tip: Use validation to show a control can work and verification to confirm it continues to work in routine operations.

47 Confirm the HACCP plan is reviewed at a defined frequency and after incidents, deviations, recalls, complaints, new products, process changes, or new scientific evidence.

CRITICAL | DOCUMENT REVIEW

Current | Incomplete | Missing or outdated | Attach record

Execution tip: Use validation to show a control can work and verification to confirm it continues to work in routine operations.

48 Verify validation and verification failures trigger risk assessment, product review, corrective action, and formal HACCP plan update where necessary.

CRITICAL | RISK ANALYSIS

Finding	Priority	Owner	Due	Proof

Execution tip: Use validation to show a control can work and verification to confirm it continues to work in routine operations.

9. Traceability, recall, change control, and emergency readiness

49 Verify ingredient, packaging, work-in-progress, rework, finished-product, and dispatch records provide complete forward and backward traceability. DOCUMENT REVIEW

Current | Incomplete | Missing or outdated | Attach record

Execution tip: Test traceability and emergency controls against realistic scenarios, quantities, response times, and responsible roles.

50 Confirm mock recalls or traceability tests are completed at the required frequency and meet defined time, accuracy, and quantity-reconciliation targets. CRITICAL HACCP CHECK

Compliant | Partial | Non-compliant | N/A

Execution tip: Test traceability and emergency controls against realistic scenarios, quantities, response times, and responsible roles.

51 Check recall, withdrawal, customer notification, regulatory communication, product hold, and crisis-management responsibilities are current and tested. CRITICAL HACCP CHECK

Hold | Assess | Authorized disposition

BATCH / QUANTITY Enter

Execution tip: Test traceability and emergency controls against realistic scenarios, quantities, response times, and responsible roles.

52 Verify changes to suppliers, ingredients, allergens, recipes, equipment, software, packaging, layout, utilities, cleaning, or process parameters are risk-assessed before use. CRITICAL HACCP CHECK

Compliant | Partial | Non-compliant | N/A

Execution tip: Test traceability and emergency controls against realistic scenarios, quantities, response times, and responsible roles.

53 Confirm emergency plans address power loss, refrigeration failure, water interruption, contamination, equipment breakdown, fire, flood, pest events, and monitoring-system failure. CRITICAL DOCUMENT REVIEW

Current | Incomplete | Missing or outdated | Attach record

Execution tip: Test traceability and emergency controls against realistic scenarios, quantities, response times, and responsible roles.

54 Check temporary controls and emergency deviations are documented, authorized, time-bound, verified, and incorporated into the HACCP plan when they become permanent. CRITICAL DOCUMENT REVIEW

Current | Incomplete | Missing or outdated | Attach record

Execution tip: Test traceability and emergency controls against realistic scenarios, quantities, response times, and responsible roles.

10. Records, findings, corrective actions, and sign-off

55 Confirm HACCP records are legible, attributable, contemporaneous, original or controlled, accurate, protected, retrievable, and retained for the required period. DOCUMENT REVIEW

Current | Incomplete | Missing or outdated | Attach record

Execution tip: Do not close findings until the corrected system, affected product, records, and any required HACCP plan changes are verified.

56 Summarize findings by prerequisite program, process step, hazard, CCP, critical limit, monitoring failure, product impact, risk level, and responsible function. READING OR RECORD

RESULT | Enter

LIMIT / STATUS | Enter

Attach record

Execution tip: Do not close findings until the corrected system, affected product, records, and any required HACCP plan changes are verified.

57 Contain critical HACCP failures immediately by stopping release, holding affected product, restoring control, notifying management, and following the deviation procedure. CRITICAL DOCUMENT REVIEW

Hold | Assess | Authorized disposition

BATCH / QUANTITY | Enter

Execution tip: Do not close findings until the corrected system, affected product, records, and any required HACCP plan changes are verified.

58 Assign every finding a priority, named owner, due date, required evidence, reviewer, escalation route, and measurable closure criteria. CRITICAL DOCUMENT REVIEW

Finding	Priority	Owner	Due	Proof

Execution tip: Do not close findings until the corrected system, affected product, records, and any required HACCP plan changes are verified.

59 Verify closure through record review, live observation, calibration evidence, test results, product-disposition proof, updated procedures, training, or plan revision. CRITICAL READING OR RECORD

Finding	Priority	Owner	Due	Proof

Execution tip: Do not close findings until the corrected system, affected product, records, and any required HACCP plan changes are verified.

60 Record the final audit result, critical deviations, products on hold, unresolved risks, accepted exceptions, next review date, auditor, HACCP lead, manager, date, time, and signatures. CRITICAL DOCUMENT REVIEW

NAME | Enter

DATE / TIME | Enter

APPROVAL | Sign

Execution tip: Do not close findings until the corrected system, affected product, records, and any required HACCP plan changes are verified.