Self-assessment, not a proof. Hazard analysis and control points must be worked out by every business itself. Binding are the law and the food safety authority.

HACCP under Codex Alimentarius CXC 1-1969 and Regulation (EC) No 852/2004

Hazard analysis and critical control points, a legal duty

78 requirements. There is no accredited certificate for this standard. As of 07/2026.

This checklist is a free working aid for your own self-assessment and for preparation. It is not a proof, not an examination and no substitute for your own HACCP plan. The hazard analysis and the critical control points must be worked out by every business itself, because they depend on its products and processes. A fully completed sheet does not mean that your business meets the requirements of Regulation (EC) No 852/2004. Binding are the text of the law, the guides for your sector and the competent food safety authority. HACCP is not a standard: there is no certificate, and implementation is supervised by the authorities. Leanshift is not a certification body and not a supervisory authority.

Company	Date	Prepared by

1 Foundations and Food Safety Culture — 1

1.1 **Top management visibly commits to safe food and sets the example through its own behaviour. It provides the time, people, equipment and money needed, has named who is responsible for hygiene and food safety, and has made sure that everyone in the operation knows their own part in it. All staff know what is expected of them in day to day hygiene behaviour, and they know the rule that deviations, mistakes and near misses may be reported without any disadvantage. Concerns raised from the floor are picked up and answered, and the way food safety is actually lived is reviewed at intervals and adjusted whenever products, processes, rooms or the workforce change. This point is met when everyday behaviour shows it, not merely when a piece of paper about it exists.**

What proves it: Suitable evidence includes: a food safety statement dated and signed by management and displayed where people can see it, an overview of who is responsible for what, including deputies, training and instruction records with date, topic and the signatures of those who attended, minutes or short notes from team meetings that cover hygiene, records of internal hygiene walks showing the finding, the action, the person responsible and the completion date, plus a trail of what became of reported deviations. It also helps to be able to show that retraining took place after a change to product, process or staff. A small operation solves this without any apparatus: one page with the signed statement on the noticeboard, a hygiene logbook in which three lines with date and names are entered after each short team meeting, and a simple walkthrough with a checklist that is signed off once a month. Official food inspectors talk to the staff, not only to management: the answers given at the workstation are the real evidence.

○ Open ○ In progress ○ Met ○ Not applicable

Evidence / justification

2 Primary production: farming, fishing and hunting, optional section — 4

2.1 **The business has recorded whether it carries out primary production activities, meaning growing and harvesting, milking, rearing of animals before slaughter, fishing, hunting or the gathering of wild products, including the related on-farm storage, handling and transport. Where this does not apply, this chapter is marked as not applicable and left empty. Where it does apply, the business knows and has noted in writing that for exactly these activities there is no obligation to put in place procedures based on the HACCP principles under Article 5(3) of Regulation 852/2004, and that the general hygiene provisions for primary production in Annex I of that Regulation apply instead.**

What proves it: A dated note of no more than one page, or an entry on the cover sheet of this checklist, assigning every activity of the business to a stage: production on the own holding, then processing, supply, trade. Supporting evidence can be the registration with the competent food safety authority, the description of the business, the register of land or livestock. A small business without primary production states this in one sentence and skips the chapter. This assignment is a self-assessment by the business and does not replace the authority's own judgement.

○ Open ○ In progress ○ Met ○ Not applicable

Evidence / justification

2.2 **At the primary production stage, the measures that prevent contamination of the products as far as possible are defined and effective in daily practice, in particular contamination through water, soil, feed, fertilisers, plant protection and biocidal products, veterinary medicinal products, waste, as well as through pests and diseased animals. Installations, equipment, containers, crates and means of transport are cleaned and, where necessary, disinfected, the water used is suitable for its respective purpose, and the persons handling the products are healthy and trained in hygiene. Results of analyses that point to a problem are taken into account in these measures.**

What proves it: A hygiene and cleaning plan for the business with sign-off: milking installation, harvesting equipment, crates and reusable trays, cold store, vehicles. In addition, evidence of water quality, either a connection to the public supply or a dated analysis report for the private well, the training of staff and harvest helpers with a signature list, a lockable storage location for plant protection and cleaning products. A small business posts a completed cleaning and inspection plan in the barn or in the hall and files the water analysis and training list behind it.

○ Open ○ In progress ○ Met ○ Not applicable

Evidence / justification

2.3 **Records are kept of the measures used to control hazards, in a form appropriate to the nature and size of the business, and these records are retained. They cover at least the plant protection and biocidal products used, the occurrence of pests and diseases that may affect the safety of the products, the results of sample analyses of relevance to human health, and, for animals, the source and composition of the feed and the veterinary medicinal products administered, with date and withdrawal period. The records are made available to the competent authority and to receiving businesses on request.** Document

What proves it: Field record or barn log, stock book for veterinary medicinal products together with the application and supply documents from the veterinarian, delivery notes and labels of the feed, laboratory and residue reports, pest control records. A defined retention period and one folder per harvest year are useful, so that the documents are immediately at hand during an inspection or a query from a customer. A small business keeps a booklet per field or barn with the columns date, product, quantity, user, remark. What matters is the unbroken chain, not the software.

○ Open ○ In progress ○ Met ○ Not applicable

Evidence / justification

2.4 **The transition from primary production to all further activities is named: as soon as the business processes, cuts, packs, or prepares and supplies food in a farm shop, kitchen or catering operation, the general hygiene requirements and the procedures based on the HACCP principles apply to those activities, as set out in the following chapters of this checklist. For the remaining primary production activities, it has been decided and recorded whether a recognised guide to good hygiene practice for the sector is applied. Voluntary application of the HACCP principles at this stage is possible but not required.**

What proves it: A list of activities with two columns, primary production and beyond, each row referring to the chapter of this checklist that covers the point. In addition, the sector guide used, with edition and date, for example from a trade association or chamber of agriculture, and a short note on which of its chapters are implemented in the business. A small business writes one paragraph, for example: milk production follows the association's guide, the farm dairy and the farm shop fall under the following chapters of this checklist. Where exactly the boundary runs in an individual case is clarified by the business with the competent food safety authority.

○ Open ○ In progress ○ Met ○ Not applicable

Evidence / justification

3 Establishment, Layout and Equipment 13

3.1-a **The operation has assessed, for its site and the surrounding grounds, which external sources of contamination could affect food safety, for example neighbouring land use, dust, smoke, odours, standing water, animal husbandry or traffic, and has put effective protective measures in place for every source it judged to be significant. The outdoor areas are laid out and maintained so that they offer no harbourage or nesting ground for pests and so that surface water can drain away. Which external sources are relevant in the individual case follows from the location and the products of the operation and is not prescribed in a blanket manner.**

What proves it: Evidence is a short site assessment with a layout sketch or aerial view, a list of the environmental sources considered, the assessment of each and the measure derived from it, for example tight-closing gates, covered delivery bays, sealed surfaces, controlled maintenance of green areas. Dated photographs of the outdoor area and a note on the last walk-through complete the picture. A small operation covers this on a single page: left column environmental factor, middle column assessment with its own reasoning, right column measure and target date, reviewed once a year and whenever the neighbourhood changes.

○ Open ○ In progress ○ Met ○ Not applicable

Evidence / justification

Self-assessment, not a proof. Hazard analysis and control points must be worked out by every business itself. Binding are the law and the food safety authority.

3.2-a **The arrangement of the rooms and the routing of raw materials, intermediate products, finished goods, packaging materials, personnel and waste are designed so that clean and unclean areas do not cross without protection. Where physical separation is not structurally possible, separation by time or by organisational rules is defined and known throughout the operation. The layout expressly takes account of the handling of ingredients containing allergens, so that unintended carry-over to other products is avoided. Which areas count as clean and which as unclean is determined by the operation on the basis of its own products and processes.**

What proves it: Evidence is a floor plan with colour-coded zones and arrows for product, personnel and waste flows, together with a brief explanation of the separation logic and, where separation is by time, an occupancy plan or production sequence plan, for example allergen-free batches ahead of allergen-containing ones. A small operation satisfies this with a hand-drawn kitchen sketch on one A4 page showing the routes, plus a posted production sequence. When the building is altered or new product lines are added, the plan is updated, recognisable by version and date.

○ Open ○ In progress ○ Met ○ Not applicable

Evidence / justification

3.2-b **Floors, walls, ceilings, windows, doors and fixed installations in areas where food is handled are made of materials that can be cleaned and, where necessary, disinfected with the intended procedures. They are free of cracks, open joints, flaking coatings and other damage in which soil could collect or from which material could enter the food. Windows and openings to the outside are protected against the entry of pests and dirt, and doors close tightly.**

What proves it: Evidence is a walk-through record per room with lines for floor, wall, ceiling, window, door and a condition note, together with photographs before and after defects were rectified and invoices or work confirmations for the repairs carried out. Material data sheets for the coatings used demonstrate their cleanability. A small operation runs this as a monthly round with a signed checklist and an open defect list in which every item receives a date of rectification; cracked tiles and loose silicone joints appear there by name, not as a collective remark.

○ Open ○ In progress ○ Met ○ Not applicable

Evidence / justification

3.2-c **In the areas where food is handled, an adequate number of hand-washing facilities is available within easy reach, equipped with hot and cold water, cleaning agent and a hygienic means of drying hands. Hand-wash basins are used for hand washing only and are distinguishable from sinks used for equipment or food. Toilets do not open directly into rooms in which food is handled, and suitable changing and storage facilities are available for personnel and work clothing.**

What proves it: Evidence is the floor plan showing hand-wash points, toilets, lobbies and changing areas, supplemented by photographs of the fittings with soap and towel dispensers in a filled state and by purchase records for consumables. A control card at the wash point with date and initials documents the daily check on function and supply. A small operation that lacks a structural lobby to the toilet documents the substitute solution agreed with the competent authority, for example a self-closing door and an additional hand-wash point immediately after the toilet, together with a written rule on changing clothing.

○ Open ○ In progress ○ Met ○ Not applicable

Evidence / justification

3.2-d **For movable or temporary establishments such as market stalls, sales vehicles, marquees, catering set-ups and vending machines, it is defined and implemented how the same protection objectives are achieved there as in a fixed establishment: sheltered positioning, cleanable surfaces, a hand-washing facility with water of drinking water quality, refrigeration and separate waste collection. The site is assessed for suitability before work begins, in particular with regard to ground surface, water, power and environmental influences.**

What proves it: Evidence is an equipment list per mobile unit, photographs of the assembled stand, a short set-up and dismantling record for each day of operation with location, date, responsible person and a note on the water and power connection, plus maintenance records for refrigeration units and vending machines. For vending machines, a cleaning and restocking record per machine and date is added. A small operation works with a laminated set-up card that is ticked off as a checklist and photographed or signed once per deployment.

○ Open ○ In progress ○ Met ○ Not applicable

Evidence / justification

3.3-a **Equipment, work surfaces and containers that come into contact with food are made of suitable materials, do not release undesirable substances into the food and are constructed and positioned so that they can be cleaned and, where necessary, disinfected and maintained with the intended procedures. For food contact materials, a supplier confirmation of suitability is available. There is sufficient clearance between equipment items and to walls for cleaning and inspection. Where allergenic substances are handled and safe cleaning between products cannot be demonstrated, dedicated and clearly identified equipment or components are used.**

What proves it: Evidence is an equipment list with location, year of construction and intended use, the declarations of conformity or supplier confirmations for food contact materials, photographs of the installation showing the clearance from walls, and the maintenance plan with the maintenance work completed. For allergen separation, colour-coded tools and containers are used, with the colour code recorded in writing and posted in the operation. A small operation keeps the equipment list as a five-column table and files the supplier declarations of conformity directly behind it; for new purchases the confirmation is requested at the time of ordering.

○ Open ○ In progress ○ Met ○ Not applicable

Evidence / justification

3.3-b **Devices with which the operation monitors the effectiveness of its control measures, for example thermometers, scales, timers or measuring devices for further parameters the operation has defined itself, are fit for the intended purpose, sufficiently accurate and usable within the range in which measurement takes place. They are checked for correctness at defined intervals and after events that could impair their accuracy. Records of these checks and of the action taken when deviations are found are kept and retained. Which devices fall into this group and how accurate they have to be follows from the monitoring procedures the operation has defined itself.** Document

What proves it: Evidence is a list of monitoring devices with a unique identifier per device, a defined check interval and an assigned responsibility, together with the check records showing date, reference, displayed value, deviation and result, plus a note on what happens to product monitored with a deviating device since the last valid check. Calibration certificates from external service providers belong here as well but do not replace the in-house interim check. A small operation checks probe thermometers regularly against ice water and boiling water and records date, reading and initials on a card per device; a single calibrated reference thermometer in the operation is sufficient for this.

○ Open ○ In progress ○ Met ○ Not applicable

Evidence / justification

3.3-c **For waste, by-products and substances not intended for consumption, dedicated and clearly identified containers are available that are distinguishable from food containers, are leak-tight and can be closed where required. Cleaning agents, disinfectants and other chemicals are stored separately from food, packaging and food contact surfaces, in their original containers or in clearly labelled decanting containers that cannot be confused with food containers.**

What proves it: Evidence is photographs of the identified waste and chemical containers at their actual location, a one-page labelling or colour concept, the list of chemicals in use with their safety data sheets, and the lockable or physically separated storage location. A small operation handles this with lidded pedal bins in production, a labelled shelf or cupboard for cleaning agents outside the preparation zone, and the written rule that no chemical is ever decanted into a food container.

○ Open ○ In progress ○ Met ○ Not applicable

Evidence / justification

3.4-a **Water that comes into contact with food, is used as an ingredient, serves to produce ice or steam or is used to clean food contact surfaces is of drinking water quality, and this suitability is demonstrated. Water not suitable as drinking water, for example for fire protection or cooling, runs in separate, clearly identified lines with no connection to the drinking water system and no possibility of backflow. Ice and steam are produced and stored under the same hygienic conditions as food. Records of the suitability of the water are kept and retained.** Document

What proves it: Where the operation is connected to the public supply, the current drinking water analysis from the supplier and a sketch of the internal pipework identifying the draw-off points are sufficient; where water is drawn from an own well, the operation keeps its own test results from an accredited laboratory at the interval agreed with the authority. Added to this are records of backflow preventers, maintenance of water filters and softening units, and cleaning of ice makers. A small operation files the analysis, the pipework sketch and the ice machine maintenance record together and adds, for rarely used taps, a note on regular flushing against stagnation.

○ Open ○ In progress ○ Met ○ Not applicable

Evidence / justification

3.4-b **Drainage is designed and maintained so that waste water drains away safely, no backflow occurs into areas where food is handled and waste water lines are not routed unprotected above food handled in the open or above food contact surfaces. Waste is removed promptly from rooms where food is handled and is collected until pick-up at a place that can be closed, cleaned and protected against pests. The waste collection point is positioned so that it does not interfere with deliveries or goods flows.**

What proves it: Evidence is a sketch showing floor drains, grease separator and waste collection point, the maintenance and emptying records for the grease separator, disposal records or collection contracts with the waste contractor, and a cleaning record for drains and the waste area. Where animal by-products arise, the commercial documents of the approved disposal contractor are added. A small operation records the emptying of the grease separator and the cleaning of the drains as lines in the cleaning schedule it keeps anyway and files the collection receipts behind it in chronological order.

○ Open ○ In progress ○ Met ○ Not applicable

Evidence / justification

3.4-c **For heating, cooling down, chilling, freezing and hot holding, facilities are available with a capacity that matches the actual volumes and throughput of the operation, and temperatures can be measured at the points the operation has defined for its monitoring. For the failure of these facilities it is defined who is informed, how affected product is handled and when production is interrupted. Which temperatures and times have to be met is derived by the operation from its own products, processes and legal requirements.**

What proves it: Evidence is a list of chilling, freezing and heating facilities with stated capacity and a comparison against peak volume, the maintenance and repair records, the temperature monitoring records, whether by data logger or handwritten, and a short failure procedure with reporting route and contact person. A small operation hangs a card with a daily reading and initials on every refrigeration unit and files alongside it a page describing what to do in the event of a refrigeration failure, including emergency offtake, back-up chilling and the rule for discarding product.

○ Open ○ In progress ○ Met ○ Not applicable

Evidence / justification

3.4-d **Rooms in which food is handled are adequately ventilated, naturally or mechanically, so that heat, vapours and odours are removed and no condensation forms above food or food contact surfaces. The airflow is arranged so that air does not move from unclean into clean areas. Filters and ventilation openings are accessible, cleanable and maintained at defined intervals. Lighting is designed so that work and visual inspections are reliably possible, and lamps above open food are shatterproof or fitted with splinter protection.**

What proves it: Evidence is maintenance and filter change records for the ventilation and extraction systems with date and the person who carried out the work, a note on the direction of airflow, for example from the system drawing or from a simple smoke test with a photograph, and a list of the luminaires in areas with open food stating the splinter protection in place. A small operation records the cleaning of the extraction hood filters as a fixed line in the cleaning schedule and evidences protective covers or shatterproof tubes with one photograph per room and the date of the retrofit.

○ Open ○ In progress ○ Met ○ Not applicable

Evidence / justification

3.4-e **For raw materials, intermediate products, finished goods, packaging materials, cleaning agents and waste, storage facilities are available that allow separate and identified storage and that maintain the storage conditions the operation has defined for the respective products. Ingredients containing allergens are stored so that carry-over to other products is avoided, for example in closed, labelled containers and in an arrangement in which nothing can trickle down from above. Stored goods do not stand directly on the floor and are arranged so that cleaning and pest control remain possible.**

What proves it: Evidence is a storage plan or shelf allocation with designated zones, photographs of the labelled containers for open allergenic ingredients, the records of storage temperatures, and a decanting and labelling note showing that batch or best-before information is retained after decanting. A small operation labels shelves permanently, stores allergenic ingredients such as flour or nuts in closed, colour-differentiated boxes on lower shelves, and maintains the clearance from the floor using duckboards or shelf feet.

○ Open ○ In progress ○ Met ○ Not applicable

Evidence / justification

Self-assessment, not a proof. Hazard analysis and control points must be worked out by every business itself. Binding are the law and the food safety authority.

4 Training and Competence of Staff 4

4.1 **For every task involving food contact, the hygiene knowledge the person carrying it out needs is defined; new staff, temporary helpers and seasonal workers receive this instruction before they first work unsupervised, and the knowledge is refreshed at defined intervals.**

What proves it: A training matrix with the columns task, topic and interval, plus attendance records showing date, content, duration and signature. In addition, the certificate of initial instruction under Section 43 of the German Infection Protection Act and the records of the follow-up instructions. A small operation keeps one sheet per person in a folder: a 20 minute briefing at the end of a shift is enough as long as topic, date and signature are recorded.

○ Open ○ In progress ○ Met ○ Not applicable

Evidence / justification

4.2 **The people who develop the hazard analysis and define the control points of the operation have working knowledge of the twelve application steps and the seven principles, and the operation can state where that knowledge comes from; anyone who later monitors, measures or corrects at a control point has been instructed for exactly that task.**

What proves it: Attendance certificate from a HACCP course, a qualification profile of the people involved, and the consultancy contract where external support is used. For monitoring: an instruction record per person and per control point, plus a short observation by management to confirm that the person actually applies the operation's own limit, its own measuring method and its own correction route. Which hazards and which critical limits apply follows from the products and processes of the operation and has to be worked out in the operation itself; the training only supplies the tools for doing so. A small operation uses a course from the chamber of commerce or the chamber of skilled crafts and works with the sector guide to good hygiene practice.

○ Open ○ In progress ○ Met ○ Not applicable

Evidence / justification

4.3 **Staff know the allergens subject to declaration in the products of their area, the in-house rules against unintended carry-over during storage, preparation and cleaning, and the defined route by which a customer question about ingredients is answered.**

What proves it: Training material containing the operation's own allergen list per recipe, proof of attendance, and a short knowledge check in day-to-day work, for example asking a service employee which ingredients a given dish contains and where they look that up. A small operation posts the current ingredient overview where it can be seen, names one fixed contact person per shift for such questions, and records the briefing on a single sheet.

○ Open ○ In progress ○ Met ○ Not applicable

Evidence / justification

4.4 **Management makes it visible through its own behaviour, through addressing deviations openly and without blame, and through feeding results back to the team, that food safety takes priority over speed and volume; the effectiveness of training is checked against practice and not against attendance alone, and external personnel such as cleaning, maintenance or agency staff are also instructed before they start work.**

What proves it: Short minutes of the hygiene meeting with topics and decisions, observation walks by management with notes on what was seen and how it was answered, a low-threshold reporting route for input from the team together with evidence that such input was answered, and instruction records for external firms signed before the first assignment. A small operation sets aside a quarter of an hour a month with the team, notes three lines about it, and checks effectiveness by asking targeted questions and watching at the workplace. Completed sheets document the operation's own status; they replace neither the hazard analysis of the operation nor the assessment by the official food control authority.

○ Open ○ In progress ○ Met ○ Not applicable

Evidence / justification

Self-assessment, not a proof. Hazard analysis and control points must be worked out by every business itself. Binding are the law and the food safety authority.

5 Maintenance, Cleaning, Pest Control and Waste 9

5.1 **Floors, walls, ceilings, doors, windows and surfaces in rooms where food is handled are in a condition that allows thorough cleaning, and defects such as cracks, flaking paint, broken tiles or open joints are recorded and repaired within a traceable deadline.**

What proves it: Defect list or maintenance log stating the date the defect was found, the person responsible and the date of repair, supported by contractor invoices or before and after photos. A small operation keeps a single running list on the wall or in a spreadsheet where every employee can enter a defect, and management signs off on completion.

○ Open ○ In progress ○ Met ○ Not applicable

Evidence / justification

5.2 **For equipment, plant and installations that contact food or affect product safety, such as refrigeration units, ovens, slicers, dishwashers and water lines, the maintenance intervals are defined, and the maintenance actually carried out is evidenced.**

What proves it: Maintenance schedule or equipment register listing the interval and the date of the last service, supported by maintenance records, service reports from the technician or invoices. A small operation manages with an equipment list where each line names the item, the interval and the date of the last service, with the service reports filed behind it.

○ Open ○ In progress ○ Met ○ Not applicable

Evidence / justification

5.3 **Measuring devices used to monitor safety relevant parameters, in particular thermometers for chilling, heating and hot holding, are checked for accuracy at defined intervals, and devices that deviate or are defective are taken out of use.**

What proves it: Verification record with device identification, date of check, target value, actual value and result, supported by calibration certificates for reference devices. A small operation checks its hand held thermometers in an ice water bath and enters the date and the reading in a list, where a single certified reference thermometer is enough as the benchmark.

○ Open ○ In progress ○ Met ○ Not applicable

Evidence / justification

5.4 **A cleaning and disinfection plan exists that states, for every area, surface and item of equipment, what is cleaned, with which agent, at which concentration, with which contact time, how often and who is responsible.** Document

What proves it: Cleaning and disinfection plan posted on the wall or held in a folder, cross checked against the technical data sheets and safety data sheets of the agents used so that concentration and contact time match the manufacturer specifications. A small operation builds the plan as a table organised by room and posts it in the room concerned so that it is readable at the point of work.

○ Open ○ In progress ○ Met ○ Not applicable

Evidence / justification

5.5 **The completion of the planned cleaning is confirmed and its effectiveness is verified, and where a check shows an unsatisfactory condition, the rework and the removal of the cause are traceable.**

What proves it: Signed cleaning records per shift or per day, results of visual checks by a second person and, where useful, laboratory results from swabs or contact plates taken on food contact surfaces with date, location and finding. A small operation combines the sign off on the cleaning plan with a weekly visual check by management and has one or two swabs analysed externally each quarter.

○ Open ○ In progress ○ Met ○ Not applicable

Evidence / justification

5.6 **Cleaning agents, disinfectants and other chemicals are kept in their labelled original packaging or in clearly marked containers, stored separately from food, packaging material and food contact articles, access is controlled, and for agents used on food contact surfaces the manufacturer confirms their suitability.**

What proves it: Photos or a sketch of the separated or locked chemical store, a list of the agents in use referencing the safety data sheet and the manufacturer confirmation of suitability for the food sector, plus the training given to employees on safe handling. A small operation uses a lockable cabinet outside the production rooms and explicitly forbids decanting chemicals into drinks bottles.

○ Open ○ In progress ○ Met ○ Not applicable

Evidence / justification

Self-assessment, not a proof. Hazard analysis and control points must be worked out by every business itself. Binding are the law and the food safety authority.

5.7 **The operation keeps pests and domestic animals away from the areas where food is handled: entry routes are secured, the building offers as little harbourage and food as possible, a monitoring system with defined inspection points is in place, and inspections take place at fixed intervals.** Document

What proves it: Site plan with numbered monitoring points for rodents and flying insects, inspection reports from the pest control contractor or in house inspection records with date and finding per point, supported by evidence of structural measures such as door seals, insect screens or sealed pipe penetrations. A small operation can number and photograph the monitoring points itself and walk them weekly with a short checklist.

◯ Open ◯ In progress ◯ Met ◯ Not applicable

Evidence / justification

5.8 **For a confirmed or suspected infestation the reporting route, the immediate actions and the decision on how to handle potentially affected product are defined, control measures are carried out by competent persons without endangering food, and effectiveness as well as root cause are followed up.**

What proves it: Infestation reports with date, location, extent and action taken, blocking or disposal records for affected product, intervention reports and proof of competence of the contracted service provider, plus follow up checks showing that the infestation has been ended. A small operation records the reporting route and the emergency number of the service provider on a single sheet in the cleaning folder so that temporary staff also know whom to call.

◯ Open ◯ In progress ◯ Met ◯ Not applicable

Evidence / justification

5.9 **Waste, food leftovers and product no longer fit for sale are collected in marked, sufficiently tight and closable containers, removed quickly enough that they do not accumulate in the working rooms, stored separately where this is required, and their handover to approved waste contractors is evidenced.**

What proves it: Waste disposal contracts and transfer notes or commercial documents from the contractor, kept separately for animal by products and used fat, together with the cleaning requirements for waste containers and the waste room in the cleaning plan. A small operation collects the collection receipts chronologically in a single folder and records the collection days and the responsibility for cleaning the bins in writing.

◯ Open ◯ In progress ◯ Met ◯ Not applicable

Evidence / justification

6 Personnel: Health, Hygiene Behaviour and Training 5

6.1 **The site has defined which symptoms and illnesses a person must report before working with food, to whom the report is made, and who decides on a temporary reassignment of duties. The same rule applies to casual staff, agency workers, interns and working family members, and the people concerned are aware of it.**

What proves it: Written reporting rule naming a responsible contact, notice of the reportable symptoms posted in the changing area, records of the initial and refresher instruction under infection protection law with date and signature, an informal note for every exclusion from duty and for the return to work. A small site keeps a single list in the personnel folder showing the date of the last instruction for each person.

◯ Open ◯ In progress ◯ Met ◯ Not applicable

Evidence / justification

6.2 **The occasions on which hands must be washed are defined for the tasks actually performed on site, including start of work, use of the toilet, end of a break, contact with waste, and any switch between raw and ready to eat product. The hand wash stations needed for this are reachable from the workstation without a detour and are equipped with a cleaning agent and a hygienic means of drying.**

What proves it: Hand hygiene plan stating occasion, agent and contact time, notice posted directly above the wash basin, purchase or delivery records for soap and single use towels as evidence of actual consumption, initials of the supervisor on spot checks. In a small site the plan fits on one page, and the spot check is a monthly tick with initials on that same sheet.

◯ Open ◯ In progress ◯ Met ◯ Not applicable

Evidence / justification

Self-assessment, not a proof. Hazard analysis and control points must be worked out by every business itself. Binding are the law and the food safety authority.

6.3 **For each area it is defined which work wear and protective clothing including head covering is worn, how often it is changed, and who launders it under which conditions. Personal outdoor clothing and work wear are stored separately, and visibly soiled clothing is changed before work continues.**

What proves it: Clothing rule per area with change frequency, issue list for clothing signed by the person receiving it, evidence of laundering as a contract with a laundry service or as an internal specification of the wash temperature, separate lockers or at least separate compartments. A small site evidences this with an issue list and a short note stating who launders at which temperature.

○ Open ○ In progress ○ Met ○ Not applicable

Evidence / justification

6.4 **Rules of behaviour exist for every area where unpackaged food is handled; they also apply to visitors, contractors and drivers and are made known to them before entry. They cover at least: jewellery, watches, artificial nails and personal items, the covering of wounds with high visibility and, where needed, detectable plasters, and eating, drinking and smoking only in the zones designated for it.**

What proves it: Site instruction setting out the rules of behaviour with signed acknowledgement per person, entry rule for external persons with an entry in the visitor sheet and issue of single use clothing, a fixed issue point for contrast plasters with stock control. In a small site a notice at the entrance and a single visitor sheet next to the door are sufficient.

○ Open ○ In progress ○ Met ○ Not applicable

Evidence / justification

6.5 **Every person in contact with food is trained before starting work and thereafter at defined intervals, tailored to their task. Alongside basic hygiene, the training explicitly covers the handling of allergenic ingredients and carry over via hands, clothing and tools; it is delivered in a form everyone involved understands, and management demonstrates through its own behaviour that hygiene deviations can be reported without disadvantage.**

What proves it: Training plan with topic, date and target group, attendance list with signatures, materials using pictures rather than long texts where language barriers exist, a simple check of effectiveness such as a hand contact plate or a short questionnaire, plus records of reported deviations and the action taken in response. A small site trains during the morning briefing and records date, topic and initials on a single form.

○ Open ○ In progress ○ Met ○ Not applicable

Evidence / justification

7 Control of Operations 17

7.1 **The flow from goods receipt through to dispatch is captured in a dedicated process map that covers every step, every interim storage point, every rework and every return of product into the flow, and that has been walked through and confirmed on the floor during live production. Which steps have to be controlled, and by which measure, is derived by the operation from its own hazard analysis, because that depends on the products made, the equipment in use and the customers served, and cannot be dictated from outside.**

What proves it: A flow diagram or a numbered list of steps carrying a date, an author, and a note stating who verified it on the floor and when. Alongside it, a table that assigns the intended control measure to each step and refers back to the operation's own hazard analysis. A workable route for the derivation: take sector codes of good hygiene practice, guidance sheets from the authorities and technical literature as a starting point, then work through step by step and decide what genuinely applies to this operation. A small operation draws the map on a single page and records changes to recipe, equipment or rooms in it with a new date.

○ Open ○ In progress ○ Met ○ Not applicable

Evidence / justification

Self-assessment, not a proof. Hazard analysis and control points must be worked out by every business itself. Binding are the law and the food safety authority.

7.2 **For every step where the operation relies on time and temperature to keep a hazard under control, such as heating, chilling down, cold storage, freezing, hot holding or ripening, the values to be applied are set and justified by the operation itself. It is settled who measures, how often, at which point, and what has to happen when the defined value is not reached.**

What proves it: A procedure description per step giving the operation's own value, the measuring point, the frequency and the rule for action on deviation, together with the records of the measurements taken. The justification for a value comes from legal requirements, published sector guidance, or the operation's own measurement series on the real product, for example core temperature curves in the thickest piece or cooling curves in the fullest container. Values used by another operation are not evidence in themselves, they have to be confirmed on your own product. A small operation documents that confirmation with a measurement log covering a few batches and repeats it whenever quantity, equipment or recipe changes.

◯ Open ◯ In progress ◯ Met ◯ Not applicable

Evidence / justification

7.3 **The measuring and test equipment used to demonstrate control, such as thermometers, data loggers, scales, pH meters or water activity meters, is fit for its intended use, is checked for accuracy at defined intervals, and is adjusted, repaired or withdrawn from use when it deviates. Where a device is found to have been reading incorrectly, an assessment is made of which product was judged with it during the affected period.**

What proves it: An equipment list showing location, check interval and date of the last check, plus the check records themselves. In practice this can be handled with a reference thermometer holding a calibration certificate, against which the working thermometers are compared in ice water at 0 degrees Celsius and in boiling water, noting target value, actual value and deviation. For detected mismeasurements a short note is enough, stating which batches were reviewed and how they were decided.

◯ Open ◯ In progress ◯ Met ◯ Not applicable

Evidence / justification

7.4 **For raw materials, ingredients, additives, processing aids and bought-in finished goods there are requirements defined by the operation itself which state what it will accept and what it will not. As a minimum they cover origin, labelling, allergen declarations, condition of the packaging, the temperature required on delivery, and shelf life.**

What proves it: Specification sheets or a raw material table listing the acceptance criteria per item, supported by the supplier's product data sheets and allergen information. A small operation keeps one single list with one row per item and columns for supplier, required delivery temperature, allergens and special points. The data sheets are followed up whenever the supplier changes a recipe.

◯ Open ◯ In progress ◯ Met ◯ Not applicable

Evidence / justification

7.5 **Every delivery is checked against the defined requirements before it is accepted, the result is recorded, and product that fails is rejected or held in quarantine until the matter is settled. Product is not accepted where it is apparent that it is so spoiled, contaminated or mishandled that it would not be safe even after further processing.**

What proves it: A goods receipt record with date, supplier, item, batch or lot number, measured temperature for chilled and frozen goods, an assessment of condition, and a signature. Rejections with the reason and supporting evidence, for example a photograph and a return note, or an entry on the delivery note. A small operation uses a simple form, or stamps and signs the delivery note with the temperature added by hand.

◯ Open ◯ In progress ◯ Met ◯ Not applicable

Evidence / justification

7.6 **The suppliers and the items sourced from them are known, are selected against criteria that can be traced, and are re-assessed at defined intervals. Findings from goods receipt, from analyses, from customer complaints or from official alerts feed back into that assessment and lead to a response towards the supplier.**

What proves it: A supplier list with the items assigned to each supplier and the date of the last assessment, backed by the underlying evidence: self-assessment questionnaires, third party evidence, analysis reports, the registration or approval number of the establishment, and a history of complaints. Responses are evidenced by correspondence or a note of the conversation. A small operation runs this as a table with one row per supplier and one column for incidents in the current year.

◯ Open ◯ In progress ◯ Met ◯ Not applicable

Evidence / justification

Self-assessment, not a proof. Hazard analysis and control points must be worked out by every business itself. Binding are the law and the food safety authority.

7.7 **Water that comes into contact with food, with food contact surfaces or with the hands of staff is of potable quality. The same applies to ice that touches food or is used to chill it, and to steam that meets food or contact surfaces directly. The source of the water is known, and its quality is verified at defined intervals.**

What proves it: Where the operation is connected to the public supply: a current potable water analysis or the quality report of the supplier, plus a plan of the operation's own outlets showing where a filter, a softener or an ice machine sits, because quality can turn downstream of those points. Where water is drawn from an own well or spring: a sampling plan with parameters, sampling points and frequency, together with the results from an accredited laboratory. A small operation files the results next to a short note on how it will act on an adverse result, who is informed, and at what point use is stopped.

◯ Open ◯ In progress ◯ Met ◯ Not applicable

Evidence / justification

7.8 **Water that is not of potable quality and is used only for purposes without food contact, such as fire fighting, steam raising without product contact, or cooling, runs in a separate, clearly identified pipework system that has no connection to the potable water network and cannot flow back into it. Where water is treated and reused, it has been checked and justified that no impairment of the food arises from this.**

What proves it: A piping plan or photographic record of the colour identified lines and outlets, evidence of the backflow prevention devices and of their testing. For reused water, for example in counterflow washing, a short written assessment covering the treatment step, the parameters monitored, and the release criteria. A small operation with no non-potable network states exactly that in one sentence, so that the check remains traceable.

◯ Open ◯ In progress ◯ Met ◯ Not applicable

Evidence / justification

7.9 **Raw and untreated product is separated from ready to eat and treated product, by space, by time, or by dedicated equipment and work surfaces. Staff, tools, containers, cleaning utensils and movement routes are organised so that nothing carries over from one side to the other, and effective cleaning is provided for between changes of activity.**

What proves it: A room or zone plan showing the routes taken by staff, product and waste, colour coding of boards, knives and cleaning utensils with a legend, and a work instruction on hand washing and changing protective clothing. Where separation is only possible in time, the production schedule and the cleaning record evidence the sequence. A small operation with a single kitchen handles this through fixed time slots and an intermediate clean that is signed off on the cleaning schedule.

◯ Open ◯ In progress ◯ Met ◯ Not applicable

Evidence / justification

7.10 **The operation knows every allergenic substance that is present on site at all, and not only those in the recipes, but also those in auxiliary materials, processing aids, rework, coating and release agents, ingredients kept for the staff area, and goods that are merely held in interim storage or repacked. The overview can be assigned to a product and to an area, and it is brought up to date with every change of recipe or supplier.**

What proves it: An allergen matrix with the products or recipes in the rows and the declarable substance groups in the columns, fed from the specifications and data sheets of the suppliers. What matters is a change date on each row and a named person responsible, so that a silent recipe change by a supplier is noticed. A small operation keeps the matrix in a spreadsheet and files the supplier data sheets behind it.

◯ Open ◯ In progress ◯ Met ◯ Not applicable

Evidence / justification

7.11 **The operation has assessed the routes by which an allergenic substance can reach a product unintentionally when that product is not meant to contain it, and has derived its own measures from that assessment, such as segregated storage, closed containers with unambiguous labelling, a defined production sequence, dedicated equipment, or an intermediate clean with demonstrated effect. The effectiveness of these measures is verified and not merely assumed.**

What proves it: A written assessment for each route of entry naming the measure chosen and the person responsible, a production schedule showing the defined sequence, and evidence of effectiveness: visual inspection after cleaning with a signature, swab samples or rapid allergen tests at the critical points, and where needed a laboratory result on the first product after the changeover. A small operation starts with a fixed sequence, allergen free first, and evidences the clean in between on the cleaning schedule with the time and a signature. A precautionary statement about possible traces does not replace the measure.

◯ Open ◯ In progress ◯ Met ◯ Not applicable

Evidence / justification

Self-assessment, not a proof. Hazard analysis and control points must be worked out by every business itself. Binding are the law and the food safety authority.

7.12 **Information on the allergenic substances present reaches the customer reliably, through the label for prepacked goods and through a defined and internally known form of disclosure for goods sold loose. Every change to a recipe, an ingredient or a supplier triggers a review of the labelling and of the disclosure, and superseded labels or notices are taken out of circulation.** Document

What proves it: A release step for labels and menus carrying a date and the name of the releasing person, a reconciliation record between the current recipe and the label text, and for loose goods the notice, the folder or the card carrying the information, plus evidence that the sales staff have been instructed in it. A small operation keeps a binder with one sheet per dish setting out the ingredients and the allergens, and notes every change on it with a date. Destroyed old labels are noted briefly.

○ Open ○ In progress ○ Met ○ Not applicable

Evidence / justification

7.13 **For each product the shelf life and the storage conditions are set and justified by the operation itself, and every unit produced carries an identification through which it can be assigned to a production batch or to a day of manufacture. The same assignment applies to product that is reworked or reused inside the operation.**

What proves it: One sheet per product giving the date coding, the storage condition and the justification, supported by storage trials under real conditions, laboratory results on the keeping time, or published sector guidance that has been confirmed on your own product. Alongside it, the rule for how the batch identification is built up, for example date of manufacture plus a running number. A small operation notes batches in the production book and sticks the same number on the container and on the retained sample.

○ Open ○ In progress ○ Met ○ Not applicable

Evidence / justification

7.14 **Packaging and wrapping materials are suitable for contact with the food concerned, are stored protected and apart from raw materials and cleaning chemicals, and are visually checked for cleanliness and integrity before use. Reused containers are only put into service where they have been cleaned and are fit for the purpose.**

What proves it: Declarations of compliance or suitability evidence from the material suppliers for each item, filed with the specifications, plus a storage location that protects the materials from dust, pests and moisture. The visual check before use is signed off on the production record. A small operation files the supplier declarations in a binder and actively requests one whenever a new material is introduced.

○ Open ○ In progress ○ Met ○ Not applicable

Evidence / justification

7.15 **Product only leaves the operation after a check that the intended control steps have been completed and that the associated records are complete. During loading and transport the required temperatures are held, and the vehicles and containers are clean, suitable, and loaded so that products cannot adversely affect one another.**

What proves it: A release note with name and date for each batch or delivery, a temperature measurement at loading, a cleanliness check of the vehicle with a signature, plus the delivery note and transport document, and on longer routes the printout from the temperature recorder. Where a third party haulier is used, the contractual agreement on temperature control. A small operation that delivers itself uses one row per round with departure time, temperature in the load space, and a signature.

○ Open ○ In progress ○ Met ○ Not applicable

Evidence / justification

7.16 **The operation can name, for every product, the immediate supplier and the immediate business customer, and can make that information available to the authorities on request. The link between the batches used and the batches produced is closed tightly enough that an affected lot can be bounded in both directions, and the records are retained for an appropriate period.** Document

What proves it: Delivery notes and invoices for incoming goods, production records linking the batches used to the batch produced, and outgoing documents showing customer, date, item and quantity. Robustness only becomes visible in a drill: take a finished product at random, trace it back to the raw material batches and forward to every customer, with the time taken and a reconciliation of quantities, and record the result with a date. A small operation manages this with a production book and filed delivery notes, provided the batch number appears in both.

○ Open ○ In progress ○ Met ○ Not applicable

Evidence / justification

7.17 **There is a procedure the operation follows when it has reason to believe that a food it has placed on the market is not safe: the affected product is unambiguously blocked and identified, a named person decides what happens to it, the product is withdrawn from the market and, where it may already have reached the consumer, recalled publicly, and the competent authority is notified without delay. Responsibilities and contact routes are settled for outside working hours as well, and the procedure is exercised at defined intervals to confirm that it works.** Document

What proves it: A written procedure setting out the decision routes and the names and telephone numbers of those responsible, of the authority, the laboratories, the customers and, where relevant, the press, together with template letters for customer information and for notifying the authority, and a blocking label for product. The evidence is the quarantine log with batch, quantity, reason and the decision on disposition, records of destruction or return, and the record of the exercise showing date, duration, quantity recovered, and the weak points that came to light. A small operation sets the procedure out on one page, posts the contact list in the office, and checks once a year against a real batch whether the chain holds. This list does not replace an official assessment and does not constitute legal advice.

Open In progress Met Not applicable

Evidence / justification

8 Product Information and Consumer Awareness 4

8.1 **Every batch or lot that leaves the site carries a unique identifier that is visible on the product or its packaging, and that identifier can be linked within the site to the production or dispatch date, the raw materials used and the related monitoring records, so that an affected quantity can be narrowed down when the need arises.** Document

What proves it: A lot definition rule that states what delimits a lot, for example the production day, the vessel or the incoming delivery batch, together with a label sample showing the identifier and a batch list or production record that links, per lot, the raw material batches used and the customers supplied. A small operation uses the production date as the lot code and keeps a single daily sheet on which the date, the items produced, the supplier batches used and the customers supplied appear side by side.

Open In progress Met Not applicable

Evidence / justification

8.2 **Product is released with the information the next link in the chain needs in order to handle it safely: designation, lot, best before or use by date, the storage and transport temperature required and, where relevant, guidance on preparation or further processing.**

What proves it: Labels, delivery notes or trade documents per item, cross checked against a product master list that sets out the shelf life and the required temperature for each product, together with the evidence the shelf life statement rests on, such as shelf life trials, laboratory results or supplier information. A small operation keeps the product master list as a simple table and files the reasoning behind the shelf life as a short dated note alongside it.

Open In progress Met Not applicable

Evidence / justification

8.3 **For every product released it is known, and accessible to the customer, which allergenic ingredients it contains, including for loose or unpackaged product; the information matches the ingredients actually used and the recipes, and it is brought up to date whenever a recipe or a supplier changes.** Document

What proves it: Recipes with allergens marked, derived from the specifications and labels of the purchased raw materials, together with the allergen information for the customer as a notice, a folder, a menu annex or a label, plus a record of changes showing when which statement was updated. A small operation keeps an allergen folder with one line per dish and files the raw material labels behind it, so that each statement can be traced back to its source at any time.

Open In progress Met Not applicable

Evidence / justification

Self-assessment, not a proof. Hazard analysis and control points must be worked out by every business itself. Binding are the law and the food safety authority.

8.4 **Where the safety of the product depends on the consumer handling it correctly, for example with product that must be thoroughly heated before consumption, with chilled products or with offerings aimed at vulnerable groups, the consumer receives understandable information on this, and staff are able to answer questions about ingredients and handling correctly.**

What proves it: Samples of the consumer information on the label, notice, menu or website, together with the staff briefing with date and attendance list, setting out who gives information and where that information comes from. A small operation keeps a sheet at the counter with the standard answers and a note that, in case of doubt, the allergen folder is to be opened rather than the answer guessed.

◯ Open ◯ In progress ◯ Met ◯ Not applicable

Evidence / justification

9 Transport and Delivery 3

9.1 **Vehicles, trailers, load compartments and reusable containers used to move food are designed and maintained so that they can be cleaned thoroughly, they are cleaned at defined intervals and whenever the load changes between critical products, and containers or tanks used for unpackaged goods in bulk transport are visibly dedicated to food use only.**

What proves it: A register of vehicles and containers with the cleaning interval, signed cleaning records per vehicle showing date and responsible person, inclusion of load compartments and transport crates in the cleaning schedule, plus the food use marking on tanks or containers. A small operation delivering with an estate car or a refrigerated trailer keeps a single sheet in the vehicle on which the driver signs off cleaning and a visual check before every run, and reports damage to seals or wall linings into the running defect list.

◯ Open ◯ In progress ◯ Met ◯ Not applicable

Evidence / justification

9.2 **Goods are protected against contamination while in transit, packed or covered, and loading is arranged so that raw and ready to eat food, allergen containing and allergen free goods, and food and non food items cannot affect one another, and where the same vehicle has previously carried other goods, effective cleaning has taken place before the next food load.**

What proves it: A loading rule or load plan that defines separation by product group and by allergen, a visual check of the load compartment before loading with a sign off, and, where the vehicle is used for mixed loads, a previous load record noting the last non food load and the cleaning that followed. A small operation handles this with closable transport crates separated by colour or by label with a written allocation, and expressly prohibits carrying cleaning agents, tools or private items in the load compartment.

◯ Open ◯ In progress ◯ Met ◯ Not applicable

Evidence / justification

9.3 **For food that must be kept chilled, frozen or hot, the temperature is held and monitored within the required range throughout transport including loading and unloading, deviations lead to a traceable decision on the affected goods, and where a haulier or delivery service is engaged, the temperature requirements and the record keeping duty are agreed contractually and adherence to them is verified.**

What proves it: Temperature records from the refrigerated vehicle or from the data logger for each run, readings taken at loading and at handover entered on the delivery note, hold and decision records where limits are exceeded, plus a transport agreement with the service provider together with spot checks of the goods delivered. A small operation places a simple data logger in the cool box, measures with a probe thermometer at departure and on arrival and enters both readings on the delivery note, which the recipient countersigns.

◯ Open ◯ In progress ◯ Met ◯ Not applicable

Evidence / justification

Self-assessment, not a proof. Hazard analysis and control points must be worked out by every business itself. Binding are the law and the food safety authority.

10 The HACCP plan: the twelve application steps 12

10.1 **The business has appointed a team to develop and maintain the HACCP plan, the team covers the available expertise on products, technology, hygiene and raw materials, missing expertise is deliberately brought in from outside, and the scope of the plan is defined: which products, which process steps and which sites it covers and where it ends.**

What proves it: Named appointment of the people involved with their role and evidence of qualification, training certificates or consultancy contracts for bought-in expertise, plus one page describing the scope and its boundaries. In a small business the team is often a single person, in which case a written statement is enough: who is responsible, what training that person holds and which external specialist body is consulted when questions arise.

Open In progress Met Not applicable

Evidence / justification

10.2 **A description exists for each product or product group that records the characteristics relevant to safety, such as composition and raw materials, physical and chemical properties, treatment before release, packaging, storage and transport conditions, shelf life and the allergens present that are subject to labelling.**

What proves it: Product data sheet or recipe sheet per product group, based on supplier specifications and allergen declarations. A small business groups similar items together, for example by production method, and describes the group rather than every single article, as long as the safety relevant characteristics are the same within the group.

Open In progress Met Not applicable

Evidence / justification

10.3 **For each product it is recorded how it is intended to be used, what further treatment the customer applies and which groups of people it is supplied to, with particularly vulnerable consumer groups explicitly considered, and reasonably foreseeable misuse is taken into account as well.**

What proves it: Intended use and target group stated in the product data sheet, cross checked against the actual labelling, the preparation instructions on the label and the supply route. A small business records in one or two sentences per product group whether the food is heated before consumption and whether children, elderly people, pregnant women or the sick are among the consumers, because this tightens the later assessment.

Open In progress Met Not applicable

Evidence / justification

10.4 **A flow diagram is drawn up for each process that maps all steps in sequence without gaps, from goods receipt through intermediate storage, processing and packaging to release, and inputs into the process as well as outputs from it are visible, that is bought-in raw materials, additives, water, packaging, rework, returned product and waste.** Document

What proves it: Flow diagram per product group with numbered steps, date and version, so that later assessments can refer unambiguously to a step number. A small business draws the diagram by hand as a chain of boxes on one sheet and scans it in, drawing software is not required, what matters is that the steps are complete.

Open In progress Met Not applicable

Evidence / justification

10.5 **The flow diagram has been verified on site during operation against the way the work is actually carried out, across all shifts and operating times in which the process runs, differences between paper and reality have been corrected in the diagram, and the check is evidenced with date and person.**

What proves it: Note on the diagram or a short walk-through record with date, time, shift and the signature of the person who carried out the check, together with the previous version for comparison. A small business walks the full path of the product once with the printed diagram in hand, corrects it directly on the sheet and signs it off with a date.

Open In progress Met Not applicable

Evidence / justification

Self-assessment, not a proof. Hazard analysis and control points must be worked out by every business itself. Binding are the law and the food safety authority.

10.6 **For every step of the confirmed flow diagram the business has itself identified which biological, chemical, physical and allergen related hazards can occur, increase or persist there, has assessed each of these hazards by the severity of the possible health effect and the likelihood of occurrence, has named the causes of the hazards assessed as significant and assigned control measures to them, and the assessment rests on traceable sources and the conditions of the business itself, not on a list adopted from elsewhere. The outcome of this step is not predetermined, it differs for every business, every product and every process and has to be worked out independently here.**

Document

What proves it: Hazard analysis as a table in which each row is one hazard at a numbered process step, with columns for type of hazard, cause, assessment of severity and likelihood, justification of the assessment, source reference and assigned control measure. Suitable sources are technical literature, guides to good hygiene practice for the sector concerned, recall notices, official warnings, the business own complaints and laboratory results. A small business works through the sector guide step by step, checks each hazard named there for relevance in its own operation and also documents the reasoning why a hazard is not significant for it.

- Open
- In progress
- Met
- Not applicable

Evidence / justification

10.7 **From the hazards assessed as significant the business has itself derived at which process steps control is essential in order to prevent or eliminate the hazard or reduce it to an acceptable level, the derivation is justified traceably for each step, and it is equally justified why a step is not such an essential point despite a control measure, because a later stage brings the hazard under control. Which steps these are follows solely from the business own hazard analysis and its own process and is not prescribed here.**

Document

What proves it: Traceable derivation per significant hazard, for example with a decision tree or a reasoned assessment table showing which questions were asked, how they were answered and what conclusion follows. It matters that both the yes and the no decisions are justified, because during an official inspection the reasoning for the rejected points is questioned just as closely as that for the selected ones. A small business attaches the completed decision tree for each hazard as an annex to the hazard analysis.

- Open
- In progress
- Met
- Not applicable

Evidence / justification

10.8 **For every defined control point a measurable criterion is set that separates the safe from the no longer safe state, the value is chosen so that keeping to it actually controls the significant hazard, and this suitability has been evidenced before use, for example through legal requirements, scientific literature, sector guides, equipment manufacturer data or the business own trials and measurement series. The value itself depends on product, recipe, quantity, equipment and method, so it has to be established and evidenced by the business and cannot be copied from a template.**

Document

What proves it: One sheet per control point with the chosen criterion, the measured variable, the tolerance range and the source that supports the value, together with the evidence itself: extract of the legal requirement, literature reference, manufacturer documentation for the equipment or the record of the business own measurement series with date, conditions and results. It is also useful to set a stricter internal action level ahead of the actual criterion so that a trend is noticed before the safe range is left. A small business relies on the values in the sector guide but documents that its product and its equipment fall within the scope of that guide.

- Open
- In progress
- Met
- Not applicable

Evidence / justification

10.9 **For each control point it is laid down who measures or observes, when, with what and how often, the method detects a departure from the safe range early enough for intervention to still be possible, the measuring equipment used is checked, the people carrying out the monitoring are trained for this task, and the results are recorded immediately at the time of observation and countersigned by a named person.**

Document

What proves it: Monitoring plan with one row per control point, columns for measured variable, method, frequency, measuring equipment and responsible person, together with the completed records from day to day operation showing date, time, measured value, initials and countersignature. Records are kept promptly, not filled in afterwards. A small business uses preprinted daily sheets at the point of measurement or automatic recording by data loggers, but checking the recorder remains the task of a person.

- Open
- In progress
- Met
- Not applicable

Evidence / justification

Self-assessment, not a proof. Hazard analysis and control points must be worked out by every business itself. Binding are the law and the food safety authority.

10.10 **For each control point it is laid down in advance what happens when monitoring shows a departure from the safe range: who decides, how the process is brought back into the safe range, how the product affected since the last safe measurement is identified, held and assessed, who decides on its further route and how the cause is found and eliminated. Every deviation and every measure taken in response is recorded.** Document

What proves it: Corrective action plan per control point naming the trigger, the immediate measure, the handling of the affected product, the decision authority and the reporting route, together with the deviation reports from day to day operation showing date, quantity affected, batch identification, decision on the product, cause and effectiveness check. A small business keeps the plan as an if-then table directly next to the monitoring sheet, so that even a temporary worker on the late shift knows who to call and that the product does not go on sale until a decision is made.

○ Open ○ In progress ○ Met ○ Not applicable

Evidence / justification

10.11 **At defined intervals the business checks by means other than routine monitoring whether the plan actually works in practice and whether it still fits the business, this includes comparing the records against the requirements, checking the measuring equipment, testing product or environment and evaluating complaints and feedback, and the plan is also reviewed and adjusted whenever there is a reason to do so, when recipe, raw material, equipment, method, packaging, use or the legal situation changes or when new knowledge about a hazard becomes available.**

What proves it: Verification plan with the planned checks, their frequency and the responsible person, together with the results: review notes on the monitoring records, laboratory findings, calibration certificates, complaint analysis and a record of the periodic review of the plan as a whole with date, reason, participants and decisions on changes. A small business sets an annual review of the complete plan and adds a rule that triggers an immediate reassessment of the affected process step whenever a recipe or a piece of equipment changes.

○ Open ○ In progress ○ Met ○ Not applicable

Evidence / justification

10.12 **The documented information of the plan and the records created in the business are adapted in scope and level of detail to the nature and size of the business, they are current, clearly assignable to one version, protected against unauthorised or retrospective alteration and available to the authority on request, retention periods are defined and follow at least the shelf life of the products, and staff find the documents they need for their work at their workplace.** Document

What proves it: Overview of all applicable documents and records with version, date, responsible person, filing location and retention period, together with samples from the current filing showing that sheets are in fact filled in promptly. A small business keeps a single folder with dividers for the plan, the control plans and the records, and enters a table of contents with the version date at the front. A fully completed sheet evidences that a check was carried out, it replaces neither the independent technical assessment nor the judgement of the official food control authority.

○ Open ○ In progress ○ Met ○ Not applicable

Evidence / justification

11 Competence and Training for the HACCP System 1

11.1 **Everyone who handles food receives instruction in hygiene and in the control measures that apply to their tasks before they start work and at repeated intervals thereafter, and this includes temporary staff, agency workers and cleaning personnel, the people who develop, update and review the HACCP plan can demonstrate the competence needed for that role, the content is delivered in a language and at a level the participants actually understand, and it is adapted whenever products, processes, equipment, allergens or legal requirements change, or whenever deviations, complaints or inspection results reveal a gap in understanding.**

What proves it: A training plan listing topics, target groups and intervals, attendance records showing date, topic, duration, signature and the name of the trainer, documented initial instruction for new staff before they begin work, and evidence of competence for those responsible for HACCP such as course certificates, relevant vocational qualifications or records of external advice, together with some form of comprehension check, for example a short questionnaire or an observation at the workstation, with the result written down. A small operation keeps a single sheet per person on which every instruction session is entered with a date and initials, uses ten minute toolbox talks at the workbench instead of long training days, provides illustrated posters or handouts in the languages people actually speak, and files the statutory food handler health instruction together with the competence records in the same personnel file.

○ Open ○ In progress ○ Met ○ Not applicable

Evidence / justification

Self-assessment, not a proof. Hazard analysis and control points must be worked out by every business itself. Binding are the law and the food safety authority.

12 Legal Obligations of the Food Business Operator Towards the Competent Authority 5

12.1 **Every establishment in which food is produced, processed, stored, transported or supplied has been notified to the competent food safety authority before operations started, the details on activity, address and responsible person are kept current, and changes such as a change of ownership, a new product range, an additional site or the closure of the business are reported as well.**

What proves it: A copy of the notification or registration filed with the competent authority, the authority's acknowledgement of receipt or registration entry, together with the trade licence and, where the activity requires approval rather than mere registration, the approval decision including the approval number. A small business keeps the notification, the authority's reply and every later change notice in a single folder in chronological order, so that during an inspection it can immediately show that the current state of the operation has been reported.

◯ Open ◯ In progress ◯ Met ◯ Not applicable

Evidence / justification

12.2 **The business can demonstrate to the authority on request that the hygiene requirements and the procedures based on HACCP principles are actually applied in daily practice, and the documented information and records needed for this are kept in a way that reflects the real course of operations rather than being produced after the fact.** Document

What proves it: The records actually kept in the establishment: temperature checks, incoming goods checks, cleaning records, training records, results of the monitoring of the control points the business has defined for itself, and the evidence of corrective actions taken when deviations occurred. Every record carries the date, the value or finding, and the initials of the person who made it. A small business gets by with a few forms filled in at the place of work. What matters is not the volume but that the entries are genuine and made at the time.

◯ Open ◯ In progress ◯ Met ◯ Not applicable

Evidence / justification

12.3 **For hygiene relevant documented information and records it is defined how long they are retained, where they are held and who administers them, the retention period is matched to the shelf life of the products and to traceability needs, and the documents remain legible and retrievable throughout that period.** Document

What proves it: An overview of the document types with retention period, storage location and responsible person, plus samples drawn from the archive showing that records from across the whole period are in fact present. A business that stores records digitally also shows how they are backed up against data loss. A small business labels one binder per year, keeps incoming goods records and batch records at least as long as the goods remain fit for consumption, and sets a justified minimum period for short life fresh produce instead of discarding records straight away.

◯ Open ◯ In progress ◯ Met ◯ Not applicable

Evidence / justification

12.4 **The extent and form of the procedures and records are adapted to the nature and size of the business, and the business can justify why the chosen solution is appropriate for its products and processes, in particular where it relies on a sector guide to good hygiene practice or deliberately keeps its records lean.**

What proves it: The sector guide or model solution used, with publisher and edition, plus a short written rationale stating which parts were adopted and which were adapted to the business itself. Adapting to the size of the business reduces the documentation effort, it does not release the business from controlling the hazards. A small business sets out on one page which products and processes it has, which guide it uses and where it departs from that guide, so that the authority can follow the reasoning.

◯ Open ◯ In progress ◯ Met ◯ Not applicable

Evidence / justification

12.5 **Dealings with the competent authority are governed: it is defined who accompanies the inspector and provides information during an inspection, findings raised are recorded, worked off with a due date and a responsible person and examined for their root cause, and the authority is notified without delay whenever food is suspected of being unsafe.**

What proves it: Inspection reports from the authority and official analysis results, together with the business's own action list recording each finding with its cause, the action taken, the due date, the responsible person and the completion date, and further the evidence of notifications to the authority and of withdrawals or recalls. A small business notes the telephone number of the competent office and the deputy for the management on one sheet in the hygiene binder and files every inspection report behind it together with the matching completed action list.

◯ Open ◯ In progress ◯ Met ◯ Not applicable

Evidence / justification