HACCP Audit Checklist — pre-audit self-check

For QA managers and HACCP coordinators preparing for a customer, SQF / BRCGS or regulatory audit. Mark each item Yes / No / N/A and name an owner for every No.

Site: _____ Auditor / scheme: _____ Date: _____ Completed by: _____

#	Area	What the auditor checks	Evidence to have ready	Yes / No / N/A	Notes / owner
1. HACCP team and scope					
1	HACCP team and scope	A multidisciplinary HACCP / food safety team is named with roles	Team list with names, roles, training dates	☐ Yes ☐ No ☐ N/A	
2	HACCP team and scope	Scope of the plan is written: products, processes, hazards covered	Scope statement in the plan	☐ Yes ☐ No ☐ N/A	
3	HACCP team and scope	Team includes someone trained to develop the plan (e.g. a PCQI where 21 CFR 117 applies)	Training certificate	☐ Yes ☐ No ☐ N/A	
2. Product description and intended use					
4	Product description and intended use	Each product has a description: ingredients, processing method, packaging, shelf life	Product description sheets	☐ Yes ☐ No ☐ N/A	
5	Product description and intended use	Storage and distribution conditions are stated (e.g. refrigerated, frozen)	Distribution temperature notes	☐ Yes ☐ No ☐ N/A	
6	Product description and intended use	Intended use and consumers are stated, including vulnerable groups	Intended-use statement	☐ Yes ☐ No ☐ N/A	
3. Flow diagram verified on the floor					
7	Flow diagram verified on the floor	A flow diagram covers every step from receiving to dispatch	Current flow diagram	☐ Yes ☐ No ☐ N/A	
8	Flow diagram verified on the floor	The diagram was checked against the real process on site, and by whom and when is recorded	Signed and dated on-site verification	☐ Yes ☐ No ☐ N/A	
9	Flow diagram verified on the floor	Diagram is updated after any process, line or ingredient change	Revision history	☐ Yes ☐ No ☐ N/A	
4. Hazard analysis (biological, chemical incl. allergens, physical)					
10	Hazard analysis	Hazards are identified at each step for biological, chemical (including allergens) and physical categories	Hazard analysis worksheet	☐ Yes ☐ No ☐ N/A	
11	Hazard analysis	Severity and likelihood are assessed and the reasoning is written down	Hazard evaluation notes	☐ Yes ☐ No ☐ N/A	
12	Hazard analysis	Allergen hazards cover cross-contact, labeling and rework	Allergen matrix, label review records	☐ Yes ☐ No ☐ N/A	
13	Hazard analysis	Hazards requiring a control are matched to a control measure	Control measure list	☐ Yes ☐ No ☐ N/A	
5. CCPs and critical limits					
14	CCPs and critical limits	Each CCP is identified, with the decision logic or reasoning recorded	CCP determination record	☐ Yes ☐ No ☐ N/A	
15	CCPs and critical limits	Each critical limit is measurable (time, temperature, pH, aw, metal detection sensitivity, etc.)	Critical limit table	☐ Yes ☐ No ☐ N/A	
16	CCPs and critical limits	The scientific or regulatory basis for each limit is documented	Reference, study or regulation cited	☐ Yes ☐ No ☐ N/A	
6. Monitoring records (who, how, frequency, signed)					
17	Monitoring records	Monitoring procedure states what, how, how often and who for each CCP	Monitoring procedure	☐ Yes ☐ No ☐ N/A	

#	Area	What the auditor checks	Evidence to have ready	Yes / No / N/A	Notes / owner
18	Monitoring records	Records are completed at the time of the check, not afterwards	Sample of last 30 days of records	☐ Yes ☐ No ☐ N/A	
19	Monitoring records	Each record is signed or initialed and dated by the person who did the check	Signed monitoring records	☐ Yes ☐ No ☐ N/A	
20	Monitoring records	Monitoring equipment is identified and the person has been trained to use it	Equipment list, training record	☐ Yes ☐ No ☐ N/A	
7. Corrective actions (deviation, product disposition, root cause)					
21	Corrective actions	A written corrective action procedure exists for each CCP deviation	Corrective action procedure	☐ Yes ☐ No ☐ N/A	
22	Corrective actions	Affected product is identified, held and a disposition decision is recorded	Hold tags, disposition record	☐ Yes ☐ No ☐ N/A	
23	Corrective actions	The cause is investigated and action is taken to prevent a repeat	Root cause record	☐ Yes ☐ No ☐ N/A	
24	Corrective actions	Corrective actions are reviewed and closed by a responsible person	Closed corrective action examples	☐ Yes ☐ No ☐ N/A	
8. Verification (record review, calibration, testing)					
25	Verification	Monitoring and corrective action records are reviewed by someone other than the person who made them, within a set time	Dated reviewer sign-off	☐ Yes ☐ No ☐ N/A	
26	Verification	Thermometers and other CCP instruments are calibrated at a defined frequency	Calibration log, certificates	☐ Yes ☐ No ☐ N/A	
27	Verification	Product or environmental testing is done where the plan calls for it	Lab results, sampling plan	☐ Yes ☐ No ☐ N/A	
28	Verification	Internal audits of the food safety plan are scheduled and done	Internal audit schedule and reports	☐ Yes ☐ No ☐ N/A	
9. Validation and annual reassessment					
29	Validation and annual reassessment	Each control has evidence that it works as intended (validation)	Validation studies, literature, process authority letters	☐ Yes ☐ No ☐ N/A	
30	Validation and annual reassessment	The whole plan is reassessed at least once a year, and when products, processes or hazards change	Dated reassessment record	☐ Yes ☐ No ☐ N/A	
31	Validation and annual reassessment	Customer complaints, recalls and audit findings feed back into the plan	Management review minutes	☐ Yes ☐ No ☐ N/A	
10. Record keeping (dated, signed, retained)					
32	Record keeping	Records are legible, dated, signed and kept with the product or batch they relate to	Sample batch records	☐ Yes ☐ No ☐ N/A	
33	Record keeping	Retention periods are defined and followed (check your regulation and customer requirements)	Records retention procedure	☐ Yes ☐ No ☐ N/A	
34	Record keeping	Records can be retrieved quickly during an audit or inspection	Index of records; retrieval test	☐ Yes ☐ No ☐ N/A	
35	Record keeping	Changes to records are corrected with a line-through, initial and date, never erased	Record correction policy	☐ Yes ☐ No ☐ N/A	
11. Prerequisite programs (sanitation / SSOP, pest, supplier approval, training, allergen control)					

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36	Prerequisite programs	Sanitation procedures are written, with schedules, chemicals and verification (ATP, swabs, visual)	SSOPs, sanitation records	☐ Yes ☐ No ☐ N/A	
37	Prerequisite programs	A pest control program is in place with a service contract, a map and trend reports	Pest control reports	☐ Yes ☐ No ☐ N/A	
38	Prerequisite programs	Suppliers are approved and monitored; incoming ingredients are checked	Approved supplier list, COAs, receiving records	☐ Yes ☐ No ☐ N/A	
39	Prerequisite programs	Staff training covers hygiene, allergen control and their role in the plan	Training matrix, attendance records	☐ Yes ☐ No ☐ N/A	
40	Prerequisite programs	Allergen control covers segregation, changeover cleaning and label checks	Allergen control procedure, changeover records	☐ Yes ☐ No ☐ N/A	
41	Prerequisite programs	Traceability: one step back and one step forward, tested with a mock recall	Latest mock recall record	☐ Yes ☐ No ☐ N/A	

Based on: FDA, HACCP Principles & Application Guidelines (NACMCF, adopted Aug 14, 1997): the five preliminary tasks and seven principles; 21 CFR Part 117, Subpart C (hazard analysis and risk-based preventive controls, §§117.126–117.190). Other schemes: 21 CFR Part 120 (juice), Part 123 (seafood), 9 CFR 417 (USDA meat and poultry). Accessed Oct 2026.

This template is a starting point. Adapt it to your own food safety plan, your product risks and your certification body or customer requirements. It does not make a facility compliant or certified.