



**Food Safety and Inspection Service**  
U.S. DEPARTMENT OF AGRICULTURE

# Fundamentals of HACCP I

## The HACCP System

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# Objectives

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Upon completion of this module, you will be able to:

- Describe what makes up the HACCP system.
- Describe the significance of prerequisite programs to the HACCP system.

# HACCP System

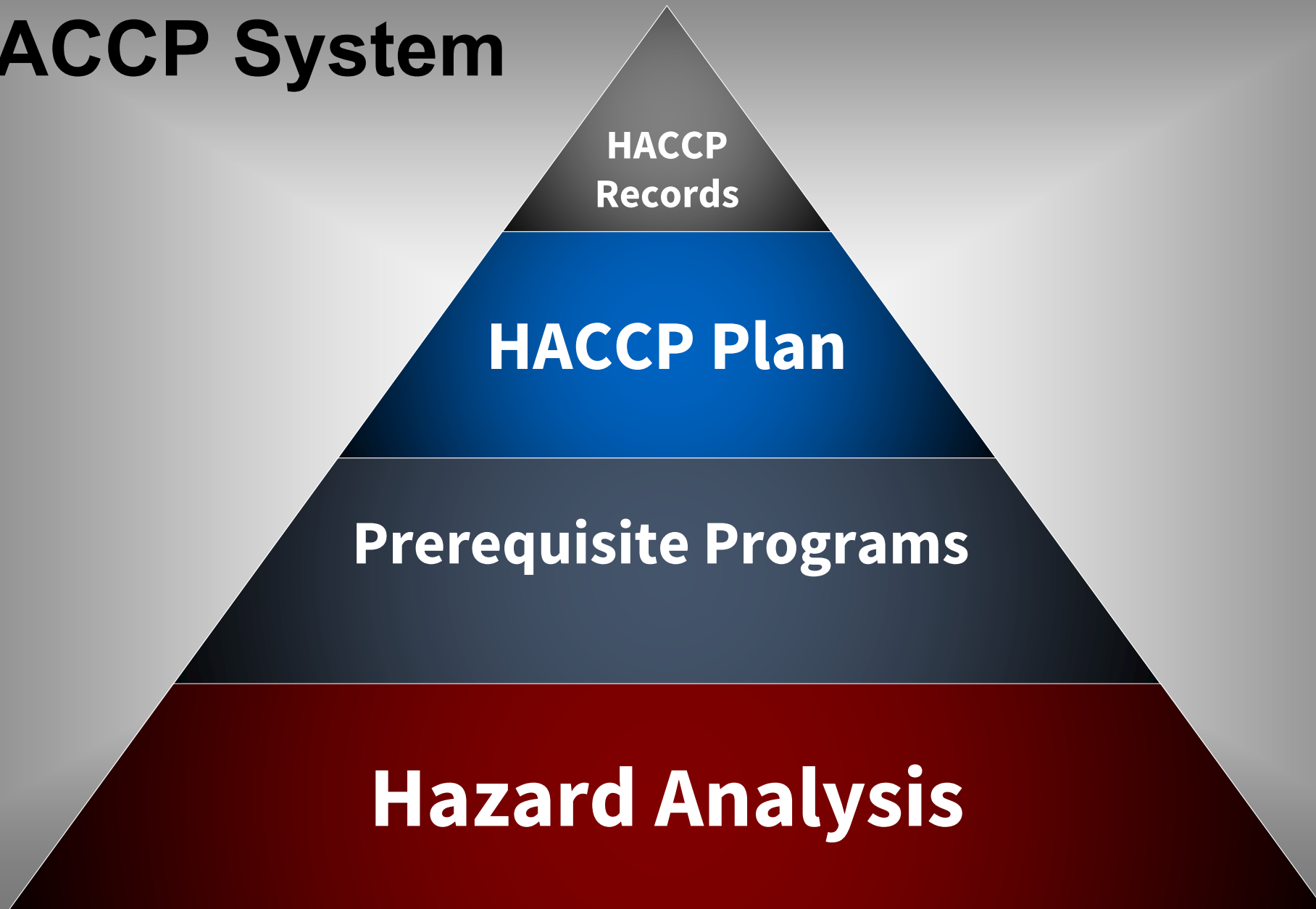
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Definition from 9 CFR 417.1:

HACCP plan in operation including the HACCP plan itself



# HACCP System



# Effective Food Safety System

- Maintains sanitary conditions
- Prevents or eliminates food safety hazards



# HACCP System

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- **IMPORTANT!**
  - Prerequisite programs that support decisions in the Hazard Analysis are part of the system



# HACCP System

- Example - Hazard Analysis

Step	Food Safety Hazard	RLTO?	Rational
Raw Product Storage	<b>Biological:</b> Pathogen Outgrowth	No	Temperature Control Program



# HACCP System

**Prerequisite programs MUST be validated**

Validation



# Knowledge Check

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How do in-plant inspection personnel prompt plant management to be committed to maintaining an effective food safety system?



# Knowledge Check

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How do in-plant inspection personnel prompt plant management to be committed to maintaining an effective food safety system?

**By verifying compliance with SPS, SSOP, and HACCP regulatory requirements.**



# In-plant Verification

- Focus has been on the ongoing, effective execution of the HACCP plan
- Must consider all available evidence to determine the effectiveness of an establishment's food safety system



# Gather Information

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- Review
  - Programs and supporting documentation
  - Records documenting program implementation
- Observe
  - Employees implementing programs
  - Conditions in the establishment
  - Product and take appropriate measurements



# Assess Information

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- Consider the food safety system
  - How does the information affect the system?
  - Is the system still effective, given the new information?
- Consider past findings
  - Are conditions getting worse over time?
  - Do same or similar problems reoccur?
  - Is plant management responding effectively to problems?



# Determine Compliance

- Met regulatory requirements
- Noncompliance
  - Did not maintain sanitary conditions?
  - Produced or shipped adulterated products?
  - May not be effectively controlling hazards?
  - Did not meet one or more regulations?

# Putting It All Together

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- What is the impact of each finding on the food safety system?
  - Is this piece of information part of a larger pattern?
  - Is there other information to indicate that the system is working or not working?
  - Does this piece of information seem to agree with the other information about the system?

# Knowledge Check

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What would you do if the plant skipped a measurement for a prerequisite program?





# Knowledge Check

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What would you do if the plant skipped a measurement for a prerequisite program?

**Determine whether this was an isolated incident or if the plant has regularly failed to implement prerequisite procedures. In other words, is this part of a larger pattern?**



# Knowledge Check

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A plant's prerequisite program for received products requires certificates of analysis (COA) from suppliers and periodic testing of incoming product. What would you do if the plant failed to receive a particular COA?



# Knowledge Check

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A plant's prerequisite program for received products requires certificates of analysis (COA) from suppliers and periodic testing of incoming product. What would you do if the plant failed to receive a particular COA?

**Determine if there were test results for that lot of product to demonstrate that the purchase specifications were effective. In other words, is there additional information to indicate that the system is working?**



# Knowledge Check

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A prerequisite program is used to support a NRLTO pathogen decision for incoming products, but the plant's finished product testing finds a positive result on one lot of product. What would you do?



# Knowledge Check

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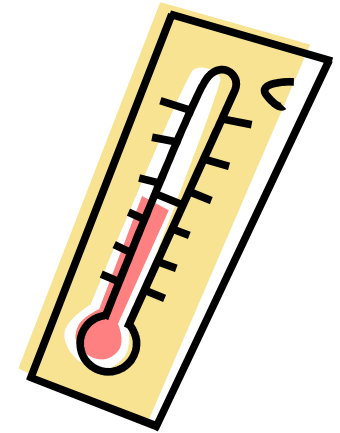
A prerequisite program is used to support a NRLTO pathogen decision for incoming products, but the plant's finished product testing finds a positive result on one lot of product. What would you do?

**The results contradict hazard analysis decision and does not agree with the other available information about the system.**

**Verify 9 CFR 417.3(b).**



# Example: Incomplete Temp Logs



- How many missed checks in a PRP is NC?
  - One or two missed checks when all other temperature checks meet specified limit.
  - Failure to complete the temp log 5 times in a week plus one time received product that exceeds the temp limit.
- To be NC, you need sufficient information to determine the prerequisite program does not continue to support the decisions about product receiving in the hazard analysis.

# The Foundations of HACCP

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- Part I Hazard Analysis Verification
- Part II Prerequisite Program Verification
- Part III HACCP Validation Verification

# Questions?

[fsis.usda.gov](https://fsis.usda.gov)





# HACCP System Workshop

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Discuss what makes up the HACCP system and the significance of each part

**Be ready to “report out”**

