

HACCP plan worksheet

A working record for building and keeping a HACCP plan for one product, or for a group of similar products made the same way with the same hazards. It runs in the order used both by the HACCP guidelines that FDA publishes (written by the NACMCF, cited below as FDA's guidelines) and by the European Commission's 2022 Notice: five preliminary steps (team, product description, intended use, flow diagram, checking the diagram on site), then the seven principles (hazard analysis, critical control points, critical limits, monitoring, corrective actions, verification, records), then review and sign-off. The plan rests on prerequisite programmes or good hygiene practices that are already written down; section 1 points to them. Nothing on this form is a value to copy: it prints no critical limit, no hazard list for your product, no likelihood or severity scale, no monitoring frequency and no retention period. Each comes from your own analysis, validation and sources, and the form asks where it came from. The layout, the numbering and the example lines (an invented chilled hummus line) are ours. Filling it in does not show that you meet any food law or scheme; it is not legal or food safety advice, and your competent authority or local food safety team can say what it expects of a business like yours.

Write on this form	Never take from this form
Facts about your product, process and site, checked on the floor. The reasoning behind each decision: why a hazard is or is not significant, why a step is or is not a CCP. The source of every critical limit and the reference of its validation. Who monitors, who corrects, who verifies.	Critical limits, operating or target limits, monitoring frequencies, likelihood and severity scales, retention periods, or the hazards of your product. The example lines are invented: they show how a row is filled, not what your values should be. Where an example would need a limit, it names a validation record instead.

1 Plan scope and control

Business and site	Plan reference	Version	Date of this version
Product or product group covered (one group only if made the same way, with the same hazards)		Process covered: from (first step) to (last step under your control)	
Rules and guidance this plan is written to (tick all that apply and name them)			
☐ EU: Regulation (EC) No 852/2004, Art. 5 ☐ Great Britain: Regulation 852/2004 as it applies in GB ☐ US: seafood or juice HACCP rules ☐ US: part of a 21 CFR 117 food safety plan ☐ Codex CXC 1-1969 ☐ Sector or national guide ☐ Customer or certification scheme ☐ Other			
Guides or generic HACCP plans used (title, edition), and how you checked that they cover every activity on your site			

Prerequisite programmes the plan relies on. They are run outside the plan, but FDA's guidelines say their existence and effectiveness should be assessed while the plan is designed, and the hazard analysis in section 6 counts on them when it judges likelihood.

Prerequisite programme or good hygiene practice	Document reference	Seen in place and working? (date, by)	Gap that affects this plan
Cleaning and disinfection			
Pest control			
Suppliers, specifications and goods-in checks			
Allergen management (segregation, cleaning between products, labels)			
Maintenance and calibration			
Personal hygiene, health and training			
Water, waste, traceability and recall			

2 HACCP team (preliminary step 1)

Role in this plan	Name	Job and the knowledge they bring (production, engineering, hygiene, quality, microbiology, the law)	HACCP training (course, date)	Responsible for, in this plan
Team leader				
Production				
Engineering or maintenance				
Hygiene or quality				
Other member				
Outside expert (if used)				

In a small business one person may hold several roles, helped by outside experts, but the business itself must understand and own the plan. In the EU, Annex II, Chapter XII of Regulation 852/2004 expects those who develop and maintain the procedure to be trained in applying the HACCP principles.

3 Product description (preliminary step 2)

What to describe	Your product (values from your own data or specification)	Source or document
Product names and codes		
Ingredients and raw materials, their origin (supplier, country) and any additives		
Allergens in the recipe, and allergens handled on the same line or site		
Characteristics that matter for safety (for example pH, water activity, salt, moisture): your measured values		
Processing applied (heating, cooling, freezing, fermenting, drying, smoking) and to what extent		
Packaging and labelling (pack type, atmosphere, storage instruction on the label)		
Storage and distribution: frozen, chilled or ambient; transport and handling		
Shelf life, date mark (use by or best before) and how the shelf life was set		
Instructions for use given to the buyer		
Microbiological or chemical criteria that apply (cite the law or the customer specification)		

4 Intended use and consumers (preliminary step 3)

How the product is normally used

☐ Eaten as sold (ready to eat)
 ☐ Heated or cooked by the user first
 ☐ Ingredient for another food business
 ☐ Other (describe)

Who will eat it

☐ General public
 ☐ Infants
 ☐ Older people
 ☐ Immunocompromised people
 ☐ Other vulnerable group (name)

☐ Hospitals, schools, care homes or other institutions

Mishandling you can reasonably foresee (eaten after the date, not heated through, kept out of the fridge, leftovers kept)

5 Flow diagram and its check on site (preliminary steps 4 and 5)

Flow diagram reference and version (attach it)				It covers every step under your control, including delays between steps, rework and waste	
				☐ Yes ☐ No: what is missing	
Step no.	Step	Inputs at this step (raw materials, packaging, water, rework)	Process data that matter for safety (time, temperature, delays), from your process	Output, by-products and waste	
5	Example: blend	Example: cooked chickpeas, tahini, garlic, lemon juice, oil, salt	Example: time from cooling to blending, from the batch record	Example: one batch to the filler; rinse water to drain	

Checked on site by (names)	Date and time	During production? ☐ Yes ☐ No	Lines and shifts seen	Differences found, and the diagram version after correction
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6 Hazard analysis (principle 1)

For each step in section 5, list every potential hazard that may be introduced, increase or be controlled there: **B** biological, **C** chemical, **P** physical, **A** allergen (allergens are chemical hazards; the Commission Notice says some businesses find a separate group easier). Judge likelihood without further control, taking your prerequisite programmes into account, and severity, on a basis you state below: the form supplies no scale. Write why each hazard is or is not significant and what you relied on (the product's history, outbreaks, recalls and alerts, literature, your own testing). Keep the reasoning: it is where every later review starts.

[illegible]

Basis used for likelihood and severity in this table (your scale or method, and where it comes from)	

7 Critical control points (principle 2)

One line per significant hazard. Name the method you used: a decision tree, a risk evaluation or both. FDA's guidelines and the Commission Notice print example trees, and FDA calls a tree a useful tool, not a mandatory element. Under the Notice a step is not a CCP or OPRP for a hazard if the control measure cannot be used there, or if a later step controls the same hazard; steps that control a hazard only in combination are each considered. A significant hazard with no control measure at any step means changing the product or process and repeating the hazard analysis. The Notice uses operational prerequisite programmes (OPRP), as ISO 22000 does, and notes that Codex speaks of good hygiene practices requiring greater attention: write the term your system uses.

Step no.	Significant hazard	Method used	Control measure possible at this step?	Controlled at a later step? (step no.)	Works only with another step? (step no.)	Outcome: CCP no., OPRP, GHP requiring greater attention, or prerequisite programme	Reasoning
3	<i>Example: pathogens surviving cooking</i>	<i>Example: decision tree in our procedure HP-2</i>	Yes	No	No	CCP 1	<i>Example: the only kill step before a ready-to-eat product</i>

8 Critical limits and their validation (principle 3)

One line per control measure at each CCP. Write the parameter and the value your team validated, such as a time and temperature, a pH or a detector's test pieces; the form deliberately prints none. A critical limit separates acceptable from unacceptable. It is not an operating or target limit, which you may set tighter so that you can act before the critical limit is reached. Where a limit is visual, describe exactly what the person checking must see. Name the source of each limit (the law, a guide to good practice, a scientific publication, your own study) and the validation showing that it controls the hazard.

CCP no. and step	Hazard controlled	Parameter	Critical limit (your validated value)	Operating or target limit (optional)	Source of the limit	Validation reference and date
<i>CCP 1, step 3 cook</i>	<i>Example: vegetative pathogens</i>	<i>Example: core temperature and time</i>	<i>Example: the value in validation V-01 (not given here)</i>	<i>Example: set by the team above the critical limit</i>	<i>Example: sector guide, confirmed by in-house trials</i>	<i>V-01, 2026-09-14</i>

9 Monitoring (principle 4)

Monitoring has to show a loss of control in time to keep affected product from leaving your control. Continuous monitoring is preferred where it is possible; otherwise set a frequency that will catch a deviation in time, and say why it is enough. The person monitoring is trained for it, records and signs each check, and reports a deviation at once. Laboratory results usually arrive too late for monitoring and belong in verification (section 11).

CCP no.	What is checked	How (method, instrument and its ID)	Frequency, and why it is enough	Who (role), and the back-up	Record (form or system)
CCP 1	Example: core temperature at the slowest-heating point of each batch	Example: calibrated probe TP-03	Example: every batch, so a failed batch can be held on its own	Example: cook; shift supervisor	Example: cooking log CK-1

10 Corrective actions (principle 5)

Plan the response for each CCP before it is needed. It brings the process back under control, deals with the product made since the last acceptable check, finds and removes the cause, and is recorded with the date, time, action and person. The same correction needed again and again is a reason to review the plan (section 13).

CCP no.	Deviation (what the monitor sees)	Bring the process back under control	Affected product: hold, assess, decide (who decides)	Cause found, and how it is stopped from recurring	Responsible (role)	Record
CCP 1	Example: core temperature below the critical limit	Example: continue cooking and probe again; check the kettle	Example: hold the batch; QA manager decides to recook or discard	Example: cause recorded on a nonconformance report	Example: QA manager	Example: CK-1; NCR log

11 Verification and validation schedule (principle 6)

Verification is everything other than monitoring that shows the plan is valid and is being followed. Someone other than the person who monitors or corrects should do it. Set your own frequencies and triggers.

Activity	What is checked	When (frequency or trigger)	By (role)	Reviewed by	Record
V1 Validation of the plan before it applies					
V2 Validation again after a change, a new hazard or an unexplained failure					
V3 Review of monitoring and corrective action records					
V4 Calibration or accuracy checks of monitoring instruments					
V5 Sampling and testing of product or environment					
V6 Watching monitoring being done; internal audit					
V7 Periodic full review by an independent person (inside or outside the business)					

12 Records and documents (principle 7)

Record or document	Where kept, and format	Owner (role)	Kept for (your period, and why)
Hazard analysis with its reasoning; CCP decisions			
Team, product description, intended use, verified flow diagram			
Critical limits and their validation			
Monitoring, deviation and corrective action records			
Verification and calibration records; training of people at CCPs			
Changes to the plan, and earlier versions			

Article 5 of Regulation 852/2004 asks for documents and records in proportion to the nature and size of the business, documents kept up to date, and other records kept for an appropriate period; it sets no number of years.

13 Review

Review the plan when (tick what applied)

- ☐ Recipe, ingredient or supplier changes
 ☐ Process, equipment or layout changes
 ☐ Packaging, storage or distribution changes
☐ Use or users of the product change
 ☐ New hazard information (alert, recall, outbreak, research)
 ☐ Repeated deviations
☐ Verification finds a failure
 ☐ Complaint or food safety incident
 ☐ Date set by your procedure

Date	Trigger	What was reviewed	Outcome and changes (new version no.)	Reviewed by

14 Sign-off

Role	Name	Signature	Date
HACCP team leader			
Manager approving the plan for the site			
Independent verifier (if used)			

15 The texts behind this form (read on 21 October 2026; check the current text)

Where	Text	What it says, in our words
EU	Regulation (EC) No 852/2004, Art. 5 and Annex II, Ch. XII (consolidated text of 24 March 2021); Commission Notice 2022/C 355/01, Annex II	Food businesses after primary production keep a permanent procedure based on the seven principles, review it when the product, process or any step changes, and keep records in proportion to their nature and size. The Notice (guidance, not law) adds the five preliminary steps, a worksheet with allergens as a separate group, flexibility for small businesses, and validation.
Great Britain	Regulation 852/2004 as it applies in GB (legislation.gov.uk); GOV.UK guide that FSA's HACCP page leads to	Article 5 in the same words, without paragraph 5. The system a business needs depends on its size, risk and complexity; FSA offers a HACCP plan template and its MyHACCP service, and the local food safety team advises.
United States	NACMCF guidelines on FDA's site (adopted 14 August 1997); 21 CFR 117.5, 117.126, 117.130, 117.135	The guidelines set out the five preliminary tasks, the seven principles and a plan summary table. A facility under subpart C of part 117 needs a written food safety plan with more parts than this form (supply-chain programme, recall plan, preventive controls beyond CCPs).
Codex	CXC 1-1969, General Principles of Food Hygiene (Codex list: last modified 2022)	FDA's guidelines were revised in 1997 after a comparison with Codex guidance, and the Commission Notice says its HACCP annex is in line with this text. The Codex text itself was not opened, reproduced or checked for this form.