

Verifying Compliance with the Five Regulatory Requirements

This section covers how to verify regulatory compliance and make supportable decisions when performing the HACCP 01 and 02 procedures. The requirements are monitoring, verification, recordkeeping, corrective action, and reassessment. Below is a chart with the five HACCP requirements, regulatory references, and the procedures and components utilized in verifying compliance.

Requirement	Regulatory References	Pro- cedure	Com- ponent
Monitoring	417.2(c)(4) <u>Monitoring Requirement</u>	01 or 02	Rk R&O
Verification	417.2(c)(7) <u>Verification Requirement</u> 417.4(a)(2)(i)(ii)(iii) <u>Verification Activities</u>	01 or 02	Rk R&O
Recordkeeping	417.2(c)(6) <u>Recordkeeping System</u>	01 or 02	Rk
	417.5(a)(1)(2) <u>Supporting Documentation</u> For canning establishments also 318/381.300-311	01 (02 ¹)	Rk
	417.5(a)(3) <u>HACCP Records</u>	01 or 02	Rk
	417.5(b) <u>Records Authenticity</u>	01 or 02	Rk R&O
	417.5(d) <u>Computerized Records</u>	01 or 02	Rk
	417.5(e)(1)(2) <u>Record Retention and Availability</u>	01 or 02	Rk
	417.5(c) <u>Pre-shipment Review</u>	02	Rk R&O (on occasion)
Corrective Action	417.3(a) Deviation from a critical limit 417.3(b) Deviation not covered by a specified corrective action/unforeseen hazard	01 ² or 02	Rk R&O
Reassessment	417.3(b)(4) Deviation not covered by a specified corrective action/unforeseen hazard 417.4(a)(3) Annual Reassessment ³ or Changes in Plant Processes 417.4(b) Hazard Analysis Reassessment	01 ² or 02	Rk

¹ Product acceptability or disposition could be verified using the 02 procedure.

² Corrective actions and reassessment can be verified through 01 but not randomly.

³ Annual reassessment will be verified with the 03A01 procedure.