primus GFS

2019

An internationally recognized Global Food Safety Initiative (GFSI) food safety audit scheme

CHECKLIST

PrimusGFS v3.1

MODULE 7

PREVENTIVE CONTROLS
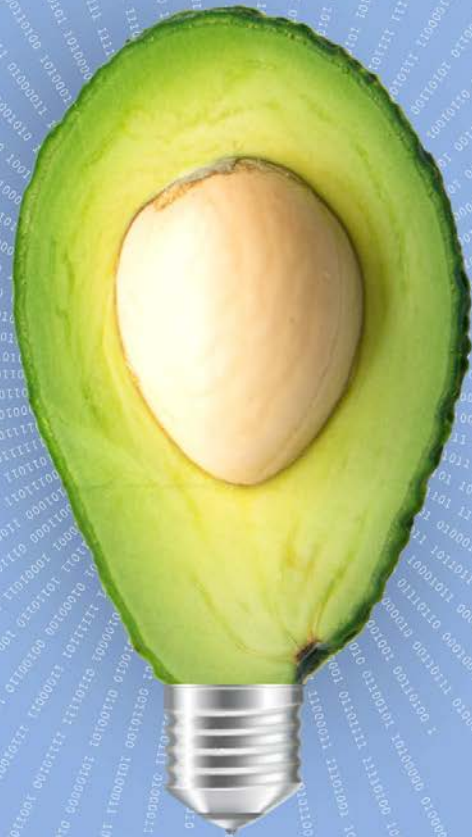Preventive Controls Program Requirements

POWERED   **CONNECTED**   **SMART**

SUPPORTED   **GLOBAL**   **RECOGNIZED**

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Checklist

MODULE 7: PREVENTIVE CONTROLS

Preventive Controls Program Requirements

(Sections 7.01 to 7.03)

This module is only completed if requested by the auditee.

Auditees have the option to present combined HACCP and Preventive Control programs, but auditors must report/score separately.

CONTACT:

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CHECKLIST

MODULE 7: PREVENTIVE CONTROLS
PREVENTIVE CONTROLS PROGRAM
REQUIREMENTS

PRELIMINARY STEPS

Question No.	Question	Total Points	Auditor Comment
7.01.01	Is there a team responsible for the preventive control program at the operation, with a leader assigned, if applicable, for the development, implementation and on-going maintenance of the preventive control program?	10	
7.01.02	Is there documented evidence that the preventive control team members have been trained on preventive control program development?	15	
7.01.03	Does a product description exist for the products produced?	10	
7.01.04	Has the process(es) been flow charted in sufficient detail to completely describe the process or product handling/ processing steps?	10	
7.01.05	Is there documented evidence that the flow chart(s) been verified on-site?	10	

DEVELOPMENT OF THE PREVENTIVE CONTROLS PROGRAM

Question No.	Question	Total Points	Auditor Comment
7.02.01	Has a documented hazard analysis for the processes been conducted, showing the various types of hazards, their likelihood of occurrence, their associated severity and their control measures?	15	
7.02.02	Have preventive control decisions been made with documented relevant validation justifications and where preventive control(s) are implemented in a specific processing step, have they been developed using plans and/or procedures to control the identified hazard(s)?	15	

7.02.03	Have processing steps that are deemed preventive controls been identified i.e. steps that significantly minimize or prevent food safety hazards? Informational gathering. If the answer is YES, continue with the next question. If the answer is NO, the rest of "Module 7 Preventive Controls" is not applicable.	0	
7.02.04	Do the process preventive controls have critical limits, supported by relevant validation documentation, and other preventive controls have parameters, values and targets (where relevant) supported by relevant validation documentation?	15	
7.02.05	Have monitoring requirements and frequencies been determined and documented for the preventive controls?	15	
7.02.06	Are there documents that show validation work for the process preventive controls and was this validation work performed by or overseen by a Preventive Control Qualified Individual?	10	
7.02.07	Do the preventive control plans, charts and/or procedures indicate that specific responsibilities have been assigned for the monitoring, recording and corrective action implementation?	10	
7.02.08	Have standard operating procedures (SOPs) been created for the monitoring process(es) of the preventive controls, including those in plan or chart format (e.g., process preventive controls)?	5	
7.02.09	Have corrective action procedures been established for the preventive controls, including a detailed action plan for operators to follow if out of specification situations are observed (loss of control/deviation) and plans to adjust process back into control?	15	
7.02.10	Have recording templates (recording forms) been developed for monitoring the preventive controls?	15	
7.02.11	Have verification procedures and schedules been developed for the preventive controls?	10	

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| 7.02.12 | Are the preventive controls (as part of the Food Safety Plan re-analysis) reviewed when operational changes are made (facility, process, equipment, ingredients, packaging etc.) and at least once every 3 years? | 10 | |
| 7.02.13 | Is there documented evidence that all plant workers have attended a preventive control training, including training for workers directly involved with preventive controls? | 10 | |

EXECUTION OF THE PREVENTIVE CONTROLS PROGRAM

Question No.	Question	Total Points	Auditor Comment
7.03.01	Do all of the documents noted in the preventive control plan accurately reflect plan requirements for the preventive controls?	15	
7.03.02	Are the preventive control monitoring activities and frequencies in compliance with the preventive control plans, charts, and procedures?	15	
7.03.03	Do workers directly involved with preventive control operations understand basic preventive control principles and their role in monitoring preventive controls?	10	
7.03.04	Are preventive control associated records signed off (or initialed) by the workers who are carrying out and recording the preventive control activities?	15	
7.03.05	Is there a deviation record detailing documented corrective actions when a deviation or deficiency of a preventive control occurs?	15	
7.03.06	Are the records associated with preventive controls reviewed and signed off by the quality control supervisor and/or management (second signatory)?	10	

Where laws, commodity specific guidelines and/or best practice recommendations exist and are derived from a reputable source, then these practices and parameters should be used. Audit users should allow a degree of risk association if laws, guidelines, best practices, etc., have not been documented.