Draft Code of Practice: Processing of Seafood Product

Part 3: HACCP Application, and the Identification of Other Risk Factors and their Controls
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Disclaimer

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NZFSA does not accept any responsibility or liability whatsoever for any error of fact, omission, interpretation or opinion that may be present, however it may have occurred.

Website

A copy of this document can be found at: http://www.nzfsa.govt.nz/animalproducts/index.htm

Review of Code of Practice

This code of practice will be reviewed, as necessary, by the New Zealand Food Safety Authority. Suggestions for alterations, deletions or additions to this code of practice, should be sent, together with reasons for the change, any relevant data and contact details of the person making the suggestion, to:

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Telephone: 04 463 2500
Facsimile: 04 463 2643
**Amendment Record**

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To update this publication when you receive an amendment, remove the appropriate outdated pages, destroy them, and replace them with the pages from the new issue. Complete instructions will be given on the covering letter accompanying the amendment. File the covering letter at the back of the publication and sign off and date this page.

If you have any queries, please ask your local verifier.

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1 Introduction

1.1 Purpose of this Document

Part 3 of the Code of Practice (COP) has been developed by the New Zealand Seafood Standards Council and the New Zealand Food Safety Authority (NZFSA) to provide guidance on the application of HACCP principles to Seafood Product processing operations.

Hazard Analysis and Critical Control Point (HACCP) is a systematic and science-based control system for assuring food safety. It is achieved by identifying and assessing hazards, and developing controls for them. HACCP focuses on preventative measures and avoids reliance on the traditional approach of endpoint product testing as a means of controlling food safety.

Operators of New Zealand food businesses are required to apply the HACCP principles to their process when developing their Risk Management Programmes (RMP) or Food Safety Programmes (FSP). HACCP is internationally recognised as the foremost means of assuring food safety. New Zealand’s major trading partners, including the United States and the European Union, require that a HACCP-based food control system be implemented by businesses exporting Seafood Product to their markets.

It is, therefore, important that Seafood Product processing operators understand the HACCP principles and how they can be applied to their operations. This document will also assist operators in the development and implementation of their RMP or FSP.

Part 3 also covers the identification and control of risk factors related to the wholesomeness and labelling of products.

1.2 Definitions

The following definitions used in this document have been derived from the Codex HACCP guidelines.

Control (verb): To take all necessary actions to ensure and maintain compliance with criteria established in the HACCP plan.
Control (noun): The state wherein correct procedures are being followed and criteria are being met.

Control measure: Any action and activity that can be used to prevent or eliminate a food safety hazard or reduce it to an acceptable level.

Corrective action: Any action to be taken when the results of monitoring at the CCP indicate a loss of control.

Critical Control Point (CCP): A step at which control can be applied and is essential to prevent or eliminate a food safety hazard or reduce it to an acceptable level.

Critical limit: A criterion which separates acceptability from unacceptability.

Deviation: Failure to meet a critical limit.

Flow diagram: A systematic representation of the sequence of steps or operations used in the production or manufacture of a particular food item.

HACCP: A system which identifies, evaluates, and controls hazards which are significant for food safety.

HACCP plan: A document prepared in accordance with the principles of HACCP to ensure control of hazards which are significant for food safety in the segment of the food chain under consideration.

Hazard: A biological, chemical or physical agent in, or condition of, food with the potential to cause an adverse health effect.

Hazard analysis: The process of collecting and evaluating information on hazards and conditions leading to their presence to decide which are significant for food safety and therefore should be addressed in the HACCP plan.

Monitor: The act of conducting a planned sequence of observations or measurements of control parameters to assess whether a CCP is under control.

Step: A point, procedure, operation or stage in the food chain including raw materials, from primary production to final consumption.

Validation: Obtaining evidence that the elements of the HACCP plan are effective.

Verification: The application of methods, procedures, tests and other evaluations, in addition to monitoring to determine compliance with the HACCP plan.
2 Hazards and their Sources

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August 2007

2.1 Types of Hazards

A hazard is a biological, chemical or physical agent in, or condition of, food with the potential to cause an adverse health effect.

- Biological hazards include micro-organisms (e.g. Salmonella spp., Listeria monocytogenes), parasites (e.g. Anisakis spp.), marine biotoxins, and histamine. [Note that in some countries, such as the United States, marine biotoxins and histamine are considered as chemical hazards.]

Micro-organisms that are non-pathogenic are not considered as hazards. For example, spoilage organisms that cause loss of quality in Seafood Product products will cause the development of bad odours and deterioration of texture, but will not cause human illness.

- Chemical hazards include heavy metals, pesticides, veterinary medicines, and cleaning compounds. Some food additives may also be hazardous if present in excessive or toxic amounts (e.g. nitrite).

- Physical hazards are foreign objects that may cause illness or injury. Some examples are: glass, metal, and shell fragments.

2.2 Sources of Hazards

Hazards may occur in the product as a result of:

- the addition or use of an input (e.g. raw material, additives, packaging);

- the process itself; and

- direct or indirect contamination from personnel and environmental sources (e.g. water, pests, wastes, equipment, internal and external environs).
The operator is required to apply the HACCP principles only to the actual process, including all inputs to the process. The identification of hazards and their controls for personnel and the various environmental sources are covered under the supporting systems for Good Operating Practice in Part 2 of the COP.
3 Good Operating Practice

Good Operating Practice (GOP) is the foundation for HACCP, and RMPs or FSPs. It covers the practices and procedures designed to ensure the consistent production of products that are safe and suitable for their intended purpose, and that meet relevant regulatory requirements. It includes several interacting components - good hygienic practices, effective processing operations and effective quality assurance systems.

The operator’s GOP procedures should be documented in supporting systems (also called as prerequisite programmes) before the application of HACCP. The HACCP approach used in this document is based on the expectation that these supporting systems are effectively being implemented. The GOP supporting systems for Seafood Product operations are covered in Part 2 of the COP, and are summarised in the following table:

<table>
<thead>
<tr>
<th>Supporting System</th>
<th>Section of Part 2 of the COP</th>
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<tbody>
<tr>
<td>Design, construction and maintenance of buildings, facilities and equipment</td>
<td>2</td>
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<td>Calibration of measuring devices</td>
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### Supporting System

<table>
<thead>
<tr>
<th>Supporting System</th>
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<td>Document Control and record keeping</td>
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4 Application of HACCP Principles

4.1 HACCP Principles

The essential steps for the application of HACCP consist of:

- the establishment of the scope, the product description and intended purpose, and the process description; and
- the application of the seven HACCP principles.

The HACCP principles, as defined by Codex are:

1. Conduct a hazard analysis;
2. Determine the Critical Control Points (CCP);
3. Establish critical limits;
4. Establish a system to monitor control of the CCP;
5. Establish the corrective action to be taken when monitoring indicates that a particular CCP is not under control;
6. Establish procedures for verification to confirm that the HACCP system is working effectively;
7. Establish documentation concerning all procedures and records appropriate to these principles and their application.

The operator is required to apply these HACCP principles to the process, including all inputs. The application must be documented, and supported using information such as historical company records, technical publications or information provided by the regulator. The person or people involved in this activity must have the appropriate knowledge and skills regarding HACCP, the product and the process.

The operator must reassess their HACCP application whenever changes in the product, process and/or premises are made.
Each of the HACCP principles is discussed in the succeeding sections. Examples of the step-by-step application of the HACCP principles for different types of Seafood Product are given in the generic RMP models.

4.2 Scope

The scope defines the accepted boundaries of the HACCP application. The scope should identify the product(s), and the start and endpoint of the process covered by the HACCP application. When the HACCP application forms part of an RMP or FSP, these details will be included in the scope of the RMP or FSP.

4.3 Product Description and Intended Purpose

The operator must give a full description of the product or products groups. When there are multiple products, they should be categorised into groups of products with similar characteristics, processing steps and/or intended use, in order to simplify the HACCP application.

The description should include the following information:

- product name(s);
- intended use of the product(s);
- intended consumer;
- any regulatory limit;
- important product characteristics; and
- other product details (e.g. packaging specifications, shelf-life and storage requirements; labelling requirements).

This information will provide a profile of the product(s), which is necessary for the setting of appropriate food safety criteria (e.g. important product characteristics), and hazard identification and analysis. For example, the microbiological criteria for shellfish that will be eaten raw are likely to differ from those for shellfish that will be cooked before consumption.
Intended use and consumer

The intended use should be based on the expected uses of the product by the end user or consumer (e.g. cooked before consumption or ready-to-eat without cooking). In some cases, it may also be important to identify whether the product is intended for any specific consumer group, particularly vulnerable groups of the population such as infants, elderly, or immuno-compromised individuals.

Regulatory Limit

Regulatory limit means a measurable limit related to safety or suitability that is identified in legislation by the Director-General. Regulatory limits are limits that are essential to be met for food safety. They are set by the regulator, and may be based on quantitative risk assessments or on best available science. At present no regulatory limit has been established for any Seafood Product.

Important product characteristics

Important product characteristics are measurable criteria that contribute to the safety and suitability of the product, and have not been defined as regulatory limits. They may be established by legislation [e.g. Animal Products (Specifications for Products Intended for Human Consumption) Notice, Food Standards Code] or by the operator. Examples of important product characteristics are:

- intrinsic parameters of the final product (e.g. pH of acidified/marinated mussels, moisture content or water activity of dried fish);
- microbiological criteria related to food safety (where regulatory limits are not yet established) (e.g. zero Salmonella in 25 g of cooked crustacea);
- levels of chemical hazards (e.g. maximum residue limits for certain chemicals);
- levels of physical hazards (e.g. limit for shell pieces in mussel meat);
- level of histamine (e.g. histamine ≤ 200 mg/kg in fish or fish product); and
- parameters related to wholesomeness (e.g. level of defects, indicators of spoilage).
The operator should first check relevant legislation for any important product characteristics that are appropriate for their specific product(s) and the hazard(s) of concern. When no legal requirement has been specified and if necessary for food safety, the operator should define their own important product characteristics. For example, the NZFSA has not established a moisture content limit for dried fish, but since this is an important characteristic related to the stability and suitability of the product, it is expected that the operator will define an appropriate moisture content limit for the product.

The operator must have evidence to show that the important product characteristics they have set are appropriate to the product considering its intended use and consumer. The types of evidence which could be used include:

- published information from approved codes of practice, guidelines produced by government and reputable industry organisations;
- peer-reviewed scientific information;
- outcomes of validated predictive models;
- scientific information from a person or organisation known to be competent; and/or
- data from the company’s monitoring and verification programmes, trials and experiments.

Important product characteristics may be achieved by GOP or CCPs. For raw products (e.g. raw fish, raw shellfish), which have not undergone any lethal processing treatment (e.g. cooking, hot smoking), any identified important product characteristics are likely to be achieved by applying controls under GOP. For further processed products, particularly those that are ready-to-eat, any identified important product characteristic that is essential for food safety should be considered at CCP determination and may result in a CCP.

### 4.4 Process Description

An accurate description of the process is necessary to be able to do a proper hazard analysis. The simplest way to describe the process is to develop one or more process flow diagrams showing all inputs, process steps, and outputs. These diagrams provide a basis for a systematic (i.e. step-by-step) hazard analysis.

The main steps in the process should be shown, including any rework or recycling of materials. Inputs should include all raw materials, additives and other ingredients, and packaging that will form part of the end product.
The process flow diagram should be confirmed by a person or persons with sufficient knowledge of the operation to ensure that it is accurate and reflects what is actually happening.

4.5 Hazard Analysis

4.5.1 Hazard Identification

Hazards that are "reasonably likely to occur" should be considered in hazard identification. Reasonably likely to occur means that:

- the particular hazard is known to occur in the particular seafood or Seafood Product based on scientific reports, industry or company results, codes of practice, and information from the NZFSA; and

- the hazard is known to occur in New Zealand (care should be taken when considering overseas information).

Hazards should be identified specifically when necessary to identify specific controls for the particular hazard/product combination. Examples of these are: Listeria monocytogenes in ready-to-eat smoked mussels, and histamine in certain wet fish.

For certain hazard/product combinations, it may be acceptable to identify hazards as a group based on their common characteristics, source and/or control (e.g. marine biotoxins in shell fish).

Vague descriptions of hazards should be avoided. For example, "foreign objects in a manufactured Seafood Product" could mean metal, glass, or plastic. These objects are from different sources and have different characteristics, and would therefore require different control measures.

4.5.2 Identification of Hazards from Inputs

The operator should identify the hazards that are reasonably likely to occur in each input, considering any supplier assurances, agreed specifications and supplier performance.

In most cases, the best option for the operator is to require that the supplier controls the hazard to acceptable levels in incoming raw materials and ingredients. This may be addressed under a supplier quality assurance programme which may include; having agreed
material specifications, provision of certificates of analysis, conducting supplier audits, and testing of incoming materials.

4.5.3 Identification of Hazards at the Process Steps

The operator should identify the hazards that are introduced or transferred to the product as a consequence of applying the process step itself. The potential impact of the process step on any existing hazard (e.g. microbiological growth, toxin formation) should also be considered during hazard analysis. Hazard analysis should be done for each step.

4.5.4 Identification of Control Measures

The operator should identify any control measures for each identified hazard.

A control measure is any action or activity that is applied to:

- control the initial levels of hazards (e.g. supplier assurances, testing and rejection of unacceptable ingredients, good animal production practices);
- prevent an unacceptable increase of the hazard (e.g. hygienic processing techniques, chilling, reduction of water activity levels, use of preservatives, acidification); and
- reduce or eliminate the level of the hazard (e.g. pasteurisation, commercial sterilisation, use of antimicrobial agents, trimming, washing).

Most control measures are likely to be covered by GOP.

If control measures do not exist or are inadequate, the operator should consider the need for redesign of the process, the implementation of new control measures or leaving the hazard as uncontrolled (if appropriate).

4.6 CCP Determination

A critical control point (CCP) is a step at which control can be applied and is essential for food safety as defined by a regulatory limit or an important product characteristic. The operator should determine whether there are any CCPs for the process.
Some points to consider when determining if control at the particular step is essential include: the degree of hazard control that is achieved at the step; likelihood of failure; consequence of control failure considering the intended use and consumer (i.e. risk to health). Generally, essential steps are those that are specifically designed to eliminate or reduce the hazard to an acceptable level.

The operator should use a systematic approach to hazard analysis and CCP determination for each process covered by the RMP. This must be documented, and any decisions made must be justified using information such as historical company records, technical publications, codes of practice or information provided by the NZFSA.

CCP determination can be facilitated by the use of a decision tree (e.g. Codex decision tree) or a table that provides a series of questions to guide the user through the decision-making process. The table currently used in the generic RMP models is a combined hazard analysis and CCP determination table that has been developed to suit the needs of the industries under the Animal Products Act. A template of this hazard analysis and CCP determination table is shown in Table 1.

When a CCP is identified, the remaining HACCP principles must be applied. When there are no CCPs identified, the other principles related to CCPs (i.e. critical limits, monitoring and corrective action) are not required, however, verification, documentation and record-keeping still need to be applied.
Table 1: Hazard Analysis and CCP Determination Template

<table>
<thead>
<tr>
<th>Process step</th>
<th>Inputs</th>
<th>Hazard reasonably likely to occur on or in the product at this step</th>
<th>Justification</th>
<th>Q1. Is there a control measure(s) for the hazard at this step?[^1]</th>
<th>Q2. Is the control measure at this step essential to food safety as defined by a regulatory limit or important product characteristic?[^2]</th>
<th>CCP No.</th>
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[^1]: If yes, identify the control measure and then answer Q2. If no, consider hazard at next step.

[^2]: If yes, this step is a CCP. If no, this step is not a CCP.
To clarify the use of Table 1, the meaning of each column is explained. The operator should go through the series of questions for each step in the process. The hazard analysis must show any hazard that is uncontrolled at the end of the process. The Generic RMP models show how this table can be used for different Seafood Product operations.

**Column 1 - Process step**

Each process step should be written in column 1 in the order shown in the process flow diagram.

**Column 2 – Inputs**

All inputs at the particular step should be indicated in column 2. This should align with the process flow diagram.

**Column 3 – Hazard identification**

The hazards reasonably likely to occur at each process step should be identified considering:

- hazards introduced by inputs at that step;
- hazards introduced or transferred as a consequence of applying the process step itself (e.g. metal from mincers);
- hazards carried over in the product from the previous step; and
- adverse impact of process step on existing hazards (e.g. growth of micro-organisms).

**Column 4 – Justification**

A brief justification for the hazard identified in the previous column should be given in column 4. Justification may be based on company experience and records, scientific literature, surveys, industry reports, Codes of Practice, generic HACCP plans and other guidance documents provided by the NZFSA.

**Column 5 – Question 1: Identification of control measures**

Question 1 requires the operator to identify any control measure for the identified hazard(s). Procedures for the control measure(s) must be documented in a supporting system of the RMP or FSP. The reference document title or number of the particular supporting system should also be cited.
Any hazard that is not completely eliminated at a step should be considered at the next step to ensure that the impact of succeeding steps on the existing hazard is considered during the analysis. In particular, bacterial pathogens should be carried over to succeeding steps since there is potential for their growth.

Hazards that are unlikely to be adversely affected by succeeding steps in the process (i.e. will not grow or increase), such as chemical residues and parasites, do not need to be carried over each succeeding step in the hazard analysis table to reduce repetition. However, the hazard must be reintroduced at the step where it is controlled or, if the hazard is considered to be uncontrolled, it must be shown at the last step of the process.

If a control measure for an identified hazard does not exist in the process or is inadequate, the operator should consider process redesign, the implementation of new control measures or leaving the hazard as uncontrolled (if appropriate).

**Column 6 - Question 2: CCP determination**

The operator will need to decide whether or not the step is a CCP by determining if control at that step is essential, by itself or in combination with other steps, to achieve any regulatory limit or important product characteristic related to food safety.

Points to consider when determining if control at the particular step is essential include:

- the degree of hazard control that is achieved at the step;
- likelihood of failure;
- consequence of control failure (i.e. risk to health) considering the intended use and consumer.

**4.7 Establish Critical Limits**

Critical limit means a criterion which separates acceptability from unacceptability at a critical control point. The operator must define and justify critical limit(s) for each CCP. In some cases, more than one critical limit may be needed at a particular step. Parameters often used include temperature, time, moisture level, pH, and water activity.

Critical limits must be measurable and should be linked to the achievement of a regulatory limit or important product/process characteristic related to food safety. They should be appropriate to the specific operation and product. They should be parameters that can be monitored on an on-going basis to ensure consistent effectiveness of the particular process step to achieve a specified level of control.
The operator should document:

- the parameters that are to be checked;
- the limit for each parameter; and
- justification for each limit.

### 4.8 Establish CCP Monitoring

Monitoring is the scheduled measurement or observation of a CCP relative to its critical limits. The operator must document monitoring procedures for each critical limit. The monitoring procedures must be able to detect loss of control at the CCP quickly to allow immediate corrective actions to be taken.

Monitoring procedures should include the:

- person responsible for monitoring;
- monitoring method;
- monitoring frequency and sampling regime; and
- records to be kept.

The monitoring frequency selected must ensure adequate and consistent control. Monitoring may be continuous or be based on a statistical sampling plan. Other factors to consider for determining monitoring frequency include: the nature of the product, the likelihood of failing the limits, the cost of monitoring, the consequence of failure (including risk to human health), the corrective actions expected (especially with respect to product disposition), and other relevant matters.
4.9 Establish Corrective Action

The operator must document corrective action procedures to be implemented when a critical limit is not met. Corrective action procedures should include the following information:

- person responsible for taking corrective action;
- procedures for restoration of control;
- procedures for control and disposition of non-conforming product, including checking of product back to the last acceptable result, where possible;
- action to prevent the problem from happening again;
- escalating response if preventative action fails; and
- records to be kept.

4.10 Establish Verification Procedures

The operator must establish and document operator verification procedures to ensure that the HACCP system is working effectively. The frequency of verification should be sufficient to confirm that the HACCP system is consistently working correctly.

Whenever possible, verification should be carried out by someone other than the person who is responsible for performing the monitoring and corrective actions.

Examples of verification activities include:

- review of the HACCP system and its records;
- review of deviations and product dispositions; and
- confirmation that CCPs are kept under control.
The verification procedures should include the following information:

- person responsible for operator verification;
- frequency or schedule for operator verification activities;
- verification methods and procedures;
- follow-up action to be taken if non-compliance occurs; and
- records to be kept.

4.11 Establish Documentation and Records

The operator must document all matters relating to the application of HACCP to the operation. Documentation and record keeping should be appropriate to the nature of the size of the operation and sufficient to assist the business to verify that the HACCP controls are in place and being maintained.

Examples of record that are expected to be generated when implementing HACCP are:

- CCP monitoring observations;
- deviations to critical limits and associated corrective actions;
- results of verification procedures; and
- modifications to the HACCP application.

4.12 Confirming the Application of HACCP

The operator should check the application of HACCP after completing the initial hazard analysis and CCP determination. The following points should be considered:

- Are the important product characteristics defined by the operator appropriate and achievable or are new ones needed?
- Are the identified CCPs essential to complying with the regulatory limit(s) or important product characteristic(s)?
- Are the critical limits appropriate and achievable? Can the critical limits be monitored effectively?
• Are all the identified hazards adequately controlled by GOP and/or a CCP(s), or by controls outside the HACCP plan (e.g. regulated control scheme)? If not, does the process need to be modified or are additional control measures needed?

• Are there any uncontrolled hazards? If so, is it required by legislation to be controlled to a specified level? Does the operator need to consider redesigning the process/product? Does the operator need to inform the further processor, retailer or consumer about the uncontrolled hazard so that food safety can be assured prior to consumption of the product (e.g. by providing feedback to suppliers; or cooking instructions, or product specifications to customers / consumers).
5 Identification and Control of Risk Factors related to Wholesomeness and Labelling of Products

Amendment 0
August 2007

5.1 RMP Requirement

RMP Specifications 2003 clause 10 requires the operator to identify in their RMP any risk factor that could negatively affect the wholesomeness of the product, and/or that could lead to false or misleading labelling of the product.

Identification of risk factors should be done systematically for each step of the process, for each Seafood Product or group of products. It should be based on:

- guidance given in other parts of this COP;
- operator knowledge/ experience of their product and process (including a review of internal records and reports); and
- customer (e.g. processor, distributor, retailer) and consumer complaints.

Procedures for controlling any identified risk factors must be established and documented by the operator. These procedures may be documented in process control procedures or in supporting systems.
5.2 Wholesomeness

A wholesome risk factor is a condition of the product that is offensive; or anything that could be contained or in contact with a product, that is offensive, or whose presence would be unexpected or unusual in product of that description. Examples of wholesomeness risk factors relevant to Seafood Product are:

- foreign objects that are not physical hazards (e.g. pea crabs in mussels, human hair in a fish product); and
- spoilage of fish.

Sections 2.8, 3.8, 4.8 and 5.8 of the supplementary document Generic RMP Models for the Processing of Seafood Product give examples of risk factors and controls related to wholesomeness.

5.3 Labelling

Animal products intended for the New Zealand market must meet all relevant legislative requirements related to labelling including:

- The Animal Product Regulations 2000, regulations 8 and 19;
- Part 7 of the current Animal Products (Specifications for Products For Human Consumption) Notice;
- Parts 1.1A and 1.2 of the Australia New Zealand Food Standards Code;
- Part 1 of the Food (Safety) Regulations 2002; and where applicable;
- Section 3 of Industry Standard 7: By-products.

A labelling risk factor is anything that could cause false or misleading labelling of a product. Examples of labelling risk factors are:

- wrong information in labels (e.g. ingredient list);
- wrong labels attached into packs;
- wrong products packed in pre-labelled packaging; and
- printers not properly set.
When identifying risk factors, consideration should be given to the type and intended use of the product, the intended consumer (animal or human), specific consumer groups (e.g. religious groups, people with allergies) and requirements for authenticating certain claims (e.g. organic, GM free).

Those operators who export their products will also need to consider the labelling requirements of the relevant market. These requirements may be additional to those needed in the RMP.

Sections 2.9, 3.9, 4.9 and 5.9 of the supplementary document Generic RMP Models for the Processing of Seafood Product give examples relating to the identification and control of risks from false or misleading labelling.